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ANNEXES

**POLICY AND INSTITUTION BUILDING
IMPACT EVALUATION PROJECT**

**FOR THE
ECONOMIC DEVELOPMENT INSTITUTE OF THE WORLD BANK**

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ANNEX I

CONSULTATION AND EVALUATION ACTIVITIES

DATE	ACTIVITY
Oct. 30 & 31	Visit to Washington : Working out Terms of Reference and Project parameters: S.T. and Harvey Lithwick with A. Van Nimmen, Steve Carapetis, Jean Mazurelle, Mauricio Silva, Fritz Rodriguez.
Nov. 6 & 7	Review background documentation
Nov. 13 & 29	Consultations with Prof. Lithwick re: Methodology
Nov. 15 & 23	Preparation of letters for participants
Nov. 24 & 28	Develop evaluation methodology
Dec. 5,6,8 & 11	Summarize activity briefs
Dec. 12,13 & 14	Visit to Washington: . revisit objectives and methodology of the evaluation . individual meetings with officers to clarify sub-sector strategies and activities . meetings with officers to identify performance indicators . meetings with Lee Roberts and Mauricia Tovo re: methodology
Dec. 30 & 31	Summarize and validate impact indicators for each sub-sector
Jan 2,3,9,10 & 11	Develop survey instruments: interview and mail questionnaires Critique from officers and final draft
Jan 25 & 26	Develop institutional assessment tools
Jan 27	Finalize activity lists for field trip
Feb.24-Mar.19	Interviews with Participants, Institutions and Resident Mission Representatives in Zimbabwe, Kenya, Tanzania, Ghana, Senegal and Côte d'Ivoire
Mar.22-Apr.10	Summary of findings Preparation of presentation
April 12 & 13	Meetings in Washington: . Individual debriefing on findings with sub-sector officers . Group meeting with EDI-Infrastructure Division to discuss findings and methodology: S.T. and Harvey Lithwick with: A. Van Nimmen, Fritz Rodriguez, Steve Carapetis, Hernan Levy, Jean Mazurelle and Mauricio Silva.
May 10	Critique of draft report: Mauricio Silva
May 21	Critique of draft report : A. Van Nimmen and officers . Presentation of findings to Africa Division
May 30	Presentation of final report

ANNEX II
SUMMARY OF EDI-INFRASTRUCTURE ACTIVITIES
IN SUB-SAHARAN AFRICA
FY 1985 TO FY 1989

Participants from Sub-Saharan Africa in the Transport Sector
(does not include pedagogic assistance)
FY 85 to FY 89 Incl.

<u>FY</u>	<u>Location</u>	<u>Activity Title</u>	<u>No. of Participants</u>
85	Italy	Regional Senior Policy Seminars (SPS)	
		in French on Transport:	
		Rome Round Table I	28
		Rome Round Table II	24
		Rome Round Table III	26
	Tunisia	Regional Course on Transport Project Appraisal (ESM)	3
	U.S.A.	Senior Policy Seminar (SPS) on Urban Transport Policy	3
86	Italy	Regional Senior Policy Seminars (SPS)	
		in English on Transport:	
		Round Table I	22
		Round Table II	22
		Round Table III	22
	Nigeria	National Course on Transport Planning and Management (ESM with NITT)	17
		Second offering	12
87	Côte D'Ivoire	Regional Seminar in French on Transport Policy (ESM with AfDB)	22
		Regional Seminar on Transport Policy in Sub-Saharan Africa (ESM with AfDB)	18
88	Côte d'Ivoire	Regional Seminar on Transport Policy Analysis I (ESM with AfDB)	19
		Regional Seminar (Fr) on Transport Policy Analysis II (ESM with AfDB)	18
89	Zimbabwe	Regional Senior Policy Seminar (SPS under SSATP)	32
	Ghana	Regional Senior Policy Seminar (SPS under SSATP)	32

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TRANSPORTATION

ACTIVITIES

Objectives

deal with these issues:

- . lack of planning and rigor in selection of investments
 - . inadequate cost-recovery
 - . mismanagement of operations and inefficient use of existing facilities
 - . neglect of maintenance
- . severe shortages of managerial and technical manpower
(see Memo, April 30 1984, p.2)

Strategy

- . First address highest policy-making authorities i.e. Ministers in SPSs
- . follow in a few months by high level seminars geared to permanent secretaries and directors general levels to focus on "instruments rather than policies": team approach to be followed

1985 - First set of Rome Round Tables - Francophone Africa
1986 - Second set of Rome Round Tables - Anglophone Africa

Objectives and Themes (Memo, March 1985)

- . provide a forum for exchange of views between participants and between participants and W.B. staff
- . key transportation policy issues to be dealt with:
 - . need to optimize allocation of resources
 - . need to reduce parastatals, burden on government finances
 - . need to improve efficiency in general and reduce costs

Participants

Team led by Ministers of Transport or Public Works, consisting of directors of major transport parastatals.

Three Round Tables, one week duration each (see countries that participates and numbers of participants in yellow booklet entitled: "Les Politiques de transport en Afrique au Sud du Sahara: Problèmes et choix".

Same for Anglophone Africa in "Transport Policy Issues in SSA".

Policy "Points of Agreement" - Francophone Rome Round Tables

1. La plus haute priorité d'utilisation des fonds du secteur des transports doit être donnée à l'entretien et la réhabilitation

- . adoption d'un réseau prioritaire auquel on affecte les fonds disponibles
- . les plans de développement national doivent refléter la priorité et l'urgence accordées à la préservation de l'infrastructure existante: limiter les investissements dans de nouveaux projets à ceux qui font forte preuve de rentabilité économique

2. Nécessité d'améliorer l'efficacité de l'emploi des fonds affectés à l'entretien:

- . utiliser des entrepreneurs pour l'entretien des routes revêtues
- . établir "pools" d'équipement
- . créer primes de productivité pour personnel d'entretien
- . recours à des cantonniers pour l'entretien
- . recours sélectif à des méthodes à forte intensité de main d'oeuvre

3. Augmentation des taxes d'utilisation.

4. Amélioration de l'efficacité des entreprises parapubliques:

- . nécessité d'objectifs de performance plus clairement définis
- . réduire le contrôle du gouvernement dans la gestion des entreprises: réévaluer la nécessité des approbations préalables des dépenses et lourdes procédures d'achat
- . hausse des tarifs pour tenir des coûts réels, paiement régulier par le gouvernement de subventions adéquates pour compenser la fourniture de services non-commerciaux et le règlement des factures en arriéré
- . encourager le secteur privé à participer à la gestion et/ou capital des entreprises de transport dans secteurs non-stratégiques
- . adopter contrats-plans pour établir objectifs, augmenter la liberté d'action et accroître la responsabilité des entreprises

5. Assistance technique et développement Institutionnel:

- . besoin de politique nationale d'assistance technique avec objectifs bien définis, cohérents avec objectifs de développement socio-économiques et un cadre institutionnel pour sa formulation et sa mise en oeuvre
- . principal objectif est le transfert de technologie: imp. de désigner homologues qualifiés et motivés par plans de carrière et de suivre le progrès de la formation
- . appui aux bureaux locaux de consultants
- . encourager le jumelage des entreprises locales et étrangères (surtout de pays en voie de développement)

Policy Points of Agreement - Anglophone Round Tables in Rome, 1986
(quite similar to those of Francophone Africa)

1. Road maintenance:

- . countries are to adopt policies geared to better utilization of existing facilities and to provision of service that are more cost-effective
- . allocate bulk of resources to maintenance
- . establish network that can be maintained and increase size of network as financing improves
- . strengthen regional coop in areas of investment projects, international land transport facilities, operations and documentation, standardization of equipment and training
- . delegate authority to local maintenance districts
- . increase use of contractors for period maintenance
- . introduce use of lengthman for routine maintenance of earth and gravel roads
- . transfer maintenance responsibility from public works departments to ad hoc parastatals in small countries
- . make more use of labor-intensive methods for rural roads
- . increase cost-recovery: raise fuel taxes and increase user fees
- . consider establishment of road funds

2. Improving efficiency of transport parastatal enterprises:

- . phase out loss-making parastatals in areas where private sector could perform as well
- . decentralize parastatal management, give more freedom to set tariffs, recruit, set personnel policies, make accountable
- . provide subsidies for specific services at below commercial rates
- . strong regional cooperation necessary for provision of international air transport and shipping services

3. Institutional development, training and technical assistance:

- . integrate technical assistance with national manpower planning and development strategies
- . clearly define objectives, outputs and indicators at the outset
- . qualified and motivated counterpart essential
- . outside experts with direct production responsibility should be expected to coach staff but not train formally
- . explore twinning as an option

FOLLOW UPS TO ROUND TABLES

1. Francophone Round Tables

a) Back-to-Office Report, Hernan Levy, March 13, 1985

"The main message from the delegations was that the large variations in economic, political and historical frameworks among SPS countries required that the application of Bank's policies should be flexible and adapted to each country's situation." (p.3)

"Large degree of support for priority to be given to rehabilitation and maintenance of transport infrastructure over new construction ... countries should retain the right to include new investments in their programs where high economic returns can be proven but also to meet Government objectives such as improving access to isolated regions (disenclavement)."

"... agreement that users should pay the cost of maintenance ... gasoline fuel tax most suitable."

"... establishment of road funds ... supported by most delegations."

"... several delegations supported that state enterprises should operate on a commercial basis and be given as much autonomy as possible" ... "... strong support for contrat-plan." "Zaire, Cameroon and Ivory Coast took the strongest position in support of leaner, more autonomous and better managed transport parastatals."

"... general support for specific measures for cost-effective measures proposed."

Conclusion

Expect good impact because i) attendance by country teams representing all areas of policy formulation and implementation (the technical ministries, as well as finance and planning), (ii) preparation of RTs recommendations by participants themselves and (iii) responsible participation by ministers.

b) Interview of participants one year later, Hernan Levy, March 1986

Two participants interviewed in Brazzaville, Congo:

- . although committed to road fund, support for Ministry of Public Works, Cabinet not ready to create such a fund
- . because Congo was negotiating structural adjustment loan to include contrat-plan in several parastatals: immediate usefulness
- . RRT improved internal contacts between Transport and Finance personnel
- . ideas on technical assistance being discussed in Ministry of Finance

Two participants interviewed in Abidjan:

- . both participants disagreed with policy to put emphasis almost exclusively on maintenance
- . exchange of ideas, particularly on improving efficiency seen as useful

FOLLOW UPS TO ROUND TABLES cont'd

2. Anglophone Round Tables

Back-to-Office Report, Hernan Levy, May 1986

"the Bank must not preach or even appear to preach. Specifically, Bank staff should not indicate what "should" or "should not" be done". There was consensus within the participants that every country is different and that no single prescription is applicable to all." (p. 9)

Re: user charges: "some general managers of transport parastatals argued that this approach is inequitable, particularly to the railways."

Re: use of economic analysis "economic analysis as a tool in decision-making is seen by participants primarily as a device which the Bank inflicts upon borrowers who are struggling to fulfil social goals (e.g. equity) and to provide access to all parts of the country (national integration), goals which the Bank staff are unable or unwilling to appreciate."

Re: selection of countries "... is vital in the dynamics of the discussions in policy seminars, and is essential to have at least one country per meeting which is trying changes in policies and that can inject a positive tone that policy reform is both necessary and feasible."

1985, 1986: Two National courses on Transport Planning and Management, Nigeria

- . Given with NITT
- . 17 participants in 1985, 12 in 1986
- . Will not be evaluated in the study

March 1987 - ESMs on Transport Policy, Côte D'Ivoire (one French, one English)

- . Follow up to Rome Round Tables
- . English, with African Development Bank's Training Centre (AfDB-TC)

Memo from Hernan Levy dated April 1987 evaluates the francophone seminar. Evaluation of anglophone seminar not provided. A third report focusing on partnership with AfDB-TC is not attached and should be obtained.

Objectives

Explore options open to policy-makers, and the "how-to"; implement some of these options, on the selected, key transport policy issues that had been the focus of the Rome Round Tables.

Re: francophone seminar, participants' evaluations note:

- . most useful in the highway stream: road maintenance strategies, financing and experiences of Ghana and Zaire
- . most useful in the parastatal stream: financial management, contract-plan and pricing strategies

"regarding the potential for practical application of seminar's teachings, the parastatal participants were more optimistic than the railway participants." The latter felt that the institutional setup and environment, and the lack of resources were constraints that were too major. The parastatal participants felt less hindered by these constraints.

- . participants would have liked more case studies, work in groups, prepared presentations by participants and African resources ..."

Note: An African resource person was considered particularly useful as was the overlap between anglophone and francophone seminars to facilitate exchange between the two groups.

A "points of interest for Bank Operations" section outlines some points of actions that working groups came up with (p.8 and 9)
Obtain from EDI - missing from reproduced documents.

1988 - Another round of ESM in Côte d'Ivoire (attended by Zimbabwe)

Points of Consensus

- . need to formulate corporate plans
- . need for coordination of agencies responsible for aspects of transport: need for integrated policy, plans and programs
- . establish company contracts where Government and parastatal company responsibilities are spelled out
- . need for tariffs to cover operating and replacement costs - where tariffs are deliberately oppressed, company must present appropriate data to enable govt. to appreciate the company's needs even if compensation or subsidies are given for the shortfalls
- . need for reliable MIS

In order to arrest road deterioration:

- . reallocate funds for new construction to maintenance
- . institute appropriate pavement management systems
- . ensure timely releases of funds to enable maintenance to be planned
- . institute measures to control axle load limitation

Ensure adequate and convenient road transport:

- . priority attention to road sub-sector
- . emphasize road maintenance instead of new construction
- . concentrate resources on maintenance of essential network
- . construct pavements to withstand anticipated loads
- . develop domestic contracting industry for road maintenance
- . adopt sound maintenance management system

For technical assistance:

- . terms of reference important (favorable and work according to TOR)

Regional Seminars On Transport Policy Analysis (Fr. 19, Engl. 18)

Memo from H. Levy and S. Carapetis, May 1988

RE: Anglophone seminars:

Objective:

"The objective of these seminars is twofold: a) serve as forum for presentation and discussion selected transport policy issues with senior African officials; b) help strengthen AfDB's capabilities in preparation and delivery of transport policy seminars.

Outcome: a) was substantially met

b) was not met

"AfDB-TC was to provide venue, including main rooms and workshop rooms, copy materials, provide rapporteurs and make several presentations. Training Centre has no higher level staff with transport background. Linkage weak with operations side of AFDB for supply of resource people. Administrative strength and capability with TC is weak which affected logistics and admin. support arrangements adversely."

Recommendation: "... unless substantial management and admin. strengthening and pedagogical capacity implanted in Training Centre, there seems little point in continuing to run valuable training exercises under the extreme difficulties presented for EDI to run them in Abidjan. Perhaps more substantial EDI assistance needed such as detailed preparation mission to work with TC staff, some time before seminars."

RE: Francophone seminars:

"... large number of Zairiens, unbalanced discussions. Need to monitor more closely invitations/replacements."

Evaluation very sketchy.

1989 - Initiation of the SSATP/Road Maintenance Initiative

See: June 1988 memo from A. Van Nimmen and attached proposal for Road Maintenance Policy Seminars

6 seminars, 3 days duration each

Anglophone: Addis, Harare, Abuja / Francophone: Abidjan, Dakar, Antannarivo

Expected Outcomes

1. Awareness and Commitment Outcomes

- . increased awareness of the magnitude of road deterioration problem;
- . changed attitude towards policies aimed at addressing and redressing the serious road deterioration problem
- . exposure to, and understanding of the range of relevant and applicable policy options related to:
 - . planning, financing and budgeting for their road maintenance and rehab. programs;
 - . management and operations of their road maintenance and rehab. activities;
- . human resource and institutional development and management in rel. to road maintenance and rehab.
- . a commitment to further analysis of these policy options with a view to identifying and adopting those most suitable for their country; and
- . awareness of the support and commitment available from the donor community

2. Policy Action Plan Outcomes

- . identify and review policy options relevant and applicable to their country;
- . determine the steps they need to take to adopt and implement relevant policy options in their country;
- . allocate priorities to the necessary steps;
- . identify the various agencies and institutions involved in the processes and procedures for the steps necessary to effect policy changes;
- . where practical, indicate desirable and feasible timetables for effecting policy changes;
- . indicate the need for technical assistance for detailed planning and preparations for policy changes;
- . those countries that demonstrate commitment to policy changes will initiate negotiations with donors through SSATP to mobilize resources for relevant technical and financial assistance related to phase two of the SSATP (p. 2 and 3 of the draft proposal)

Team approach: multi-disciplinary

Multiple donor agencies involved

African Institutions: ESAMI, AfDB, SATTC (Southern African Transport Commission) and the UN Economic Commission for West Africa States (ECOWAS)

1989 - SPSs Entitled SSATP Road Maintenance Policy Seminar

Two of a series of six seminars under Road Maintenance Initiative (RMI) of the SSATP were held: Harare, Zimbabwe, May-June 1989 / Accra, Ghana, June 1989

Reports Include:

- . summary of issues and lessons
- . country team reports on policy action planning
(country action plans)
- . evaluation report

TRANSPORTATION - INSTITUTION BUILDING

1. Pedagogical Assistance

Strategy and nature of P.A. Impossible to estimate at this point only two briefing papers provided, little info.

<u>Provided to IZP (Yugoslavia):</u>	1985, 1 course , 8 partic. 1987, 1 course, 10 partic. 1988, highway design, 10 1989, highway projects, 10 . technical content
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Report on 1985 course: Participation of one week of teaching in six-week program aimed at mid-level managers and executive engineers at ministries of public works from SSA, Asia, L.A.

Also to <u>ESAMI</u> :	1985,	Regional Rd. Table for Senior Officials . presentation by H. Levy of Rd. Table of Rome (memo dated July 1985) . report on issues: . policy for maintenance questioned by participants from landlocked countries . doubt about use of contract-plan . several govts. don't want to be involved with details of parastatals' technical performance . proposal for creation of African Transport Management Studies Centre out of ESAMI
	1987,	. regional course of containerization (n.r.) . regional course on improving railway mgt. (report does not give detail of EDI p.a.)
	1988,	Regional course on improving railway mgmt. (no report)

2. Technical Assistance

Steve Carapetis was seconded to ESAMI from May 1984 to June 1987.
The two reports provided are extremely useful in outlining key issues in institution building:

Memo dated September 1987 and report dated January 1988

3. Training of Trainers

No dedicated activity can be identified.

4. Materials

No specific documentation. See individual course materials and published documents.

AFRICAN DEVELOPMENT BANK/TRAINING CENTRE (As per S.C. and H.L.)

- . Appendage of a larger Institution with other mandate
- . Does not have the financial and human resource commitment:
 - Staff less than part-time trainers: mostly operational staff seconded to lecture
- . EDI has tried to strengthen through co-organizing of courses:
 - . ESM '87 and '88
 - . see ESM '87 report in Fr. which outlines problems of coop.

IZP In Yugoslavia (as per Hernan Levy)

- . provides courses for african participants
- . EDI contributes expertise and experience not locally available
- . attracts participants (level and interest)
- . give it more visibility and credibility
- . result:
 - . have used more transport materials
 - . now give courses on their own
 - . give policy oriented courses

NITT, Nigeria

Courses in '85 and '86
See interview with Kim

ESAMI

- . ongoing operational institution without EDI
- . ask:
 - . How did they introduce themselves to SSADC - develop their market?
 - . How much of EDI's efforts have helped to internalize capacity?

**Participants from Sub-Saharan Africa in the Urban Sector
(does not include pedagogic assistance)
FY 85 to FY 89 incl.**

<u>FY</u>	<u>Location</u>	<u>Activity Title</u>	<u>No of Participants</u>
85	U.S.A.	Workshop in French for WB Urban Project Managers in Francophone Africa (ESM)	10
86	Canada	Regional Course in French on Urban Finance Management (ESM)	26
87	Côte D'Ivoire	Regional Course in French on Urban Finance Management (ESM)	28
		Regional Workshop in French for Trainers in the Urban Sector (ToT)	11
88	Kenya	Regional Workshop on Urban Finance and Management for Trainers (ToT)	22
	Senegal	Regional Round Table in French on Urban Training (Network)	14
		Regional Seminar (Fr) on Urban Finance Management for Trainers (ToT)	24
89	Kenya	Regional Seminar for Trainers on Urban Finance and Management (ToT)	29
	Italy	Regional Senior Policy Seminars on Strengthening of Local Government (SPS)	28

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URBAN

ACTIVITIES

Objectives:

Deal with these issues:

- . many African countries are undergoing a process of decentralization of the central government in favour of municipal and local authorities (factors: rapid urban growth, politically justified and financially desirable);
- . need for training of officials to be put in charge of local authorities;
- . need for training of central Government authorities who will be guiding their activities and monitoring their performance.

Strategy:

Strengthen the capability of training institutions to provide training in urban finance and management:

- . training senior officials and trainers who are playing, or about to play, a critical role in on-going efforts in administrative reform and decentralization;
- . organize workshops (ESM) in urban finance and management with partner African institutions with a view to training them to become the focus of a larger network;
- . organize regional round-tables, usually after an ESM, to create dialogue between central and local governments, and training institutions and discuss training-related problems and issues;
- . organize (TOT) programs and workshops on systematic and performance-related training needs assessments.

1985 - ESM: Urban Finance and Management Course, Montreal
6-week course

(Activity Brief - No End-of-Course Report)

Given with the Institut d'Urbanisme (U. de Montréal), co-financed by CIDA.

Course Objectives

- . To increase participants' understanding of key features of financial planning and management of urban development and the delivery of basic urban services, and to familiarize them with specific tools and techniques for these purposes;
- . to examine possibilities for more effective collaboration between the public and private sectors in the performance of urban functions;
- . to exchange finance and management issues and opportunities;
- . to prepare specific plans of action aimed at improving the aspects of urban financing and management for which the participants or their agencies are responsible in their respective countries.

Course content included: review of urban tasks and the analysis of the urban institutional setting (urban governments, intergovernmental relationships, municipalities' internal system, role of the private sector); principles and techniques of municipal accounting and budgeting, budget preparation, execution and financial control; urban resource mobilization (practices and potential for increased revenue; preparation and appraisal of urban projects; training needs; action plans.

Participants: Senior officials from municipalities, or ministries of finance or local governments concerned with the mobilization and/or the allocation of taxes and revenues for urban areas.

Teams were invited (and participants selected) from countries selected on the basis of:

- . the existence of a real municipal system (Benin for example does not have municipalities);
- . their active involvement in urban resource mobilization; and
- . the existence of Bank-financed projects or Bank, urban sector studies.

1987 - ESM: Urban Finance and Management Course (French), Abidjan (4-week course)

Given with: **ENA** (École Nationale d'Administration de Côte D'Ivoire), **CRAU** (Centre de Recherche Architecturales et Urbaines and **UHCHS, Nairobi**; Followed by a Regional Round Table for training in urban finance and management.

Training Need Is identified by a mission of UNCHS, with the IULA (International Union of Local Authorities) and a Belgian consulting firm which visits a number of training institutions:

- . need for training in urban finance and management
- . identified a number of institutions which seem appropriate for this purpose

1) Institution Building Objective

- . combine the prestige and well-established experience in training of ENA with the research experience recently accumulated by the faculty of CRAU so as to create a focal point of a small **network of other institutions**, in the Ivory Coast itself as well as other francophone West African countries.

Institution Building Strategy and Expected Outcomes

- . Edi would play a leading role in the development of a West African network of institutions dealing with training in the area of urban finance and management, in cooperation with financial and human resources provided by other agencies (UNCHS - Habitat, IULA, USAID, etc.)
Objective: Streamline and coordinate urban training efforts undertaken in the countries of the network;
- . Members would benefit through mutual exchange of faculty, sharing of training materials, etc.
- . Members of the network would receive assistance from donor agencies concerned in terms of technical assistance, fellowships and pedagogical equipment.

2) Training Objective for ESM - Regional Seminar on Urban Finance and Management:
(see Montreal Workshop 1985, similar objectives and content and similar target audience)

"In view of the Ivory Coast's considerable decentralization efforts and concomitant training needs, ... admit a somewhat large team of Ivorian participants in the seminar. Participants ... include a fairly large number of trainers, preferably from institutions likely to become members of the network, so as to build a multiplier effect into the training effort." (Activity Brief, Page 3)

End-of-course report (Armand Van Nimmen, 1987):

a) Instructional Objectives for ESM Largely Met

- . high quality of participants because first on-location course in Africa;
- . participants were either directly involved in the process of decentralization and administrative reform or associated with municipal finance and management - at the central or local level; (The list of participants does not point to any obvious trainer presence, at least according to titles)
- . participants would have liked more emphasis on financial analysis of municipal budgets;
- . two resource persons from Africa were used and highly appreciated: a good experience;
- . seven country teams developed, in extracurricular time, action plans to be attached to the reports to be submitted to their respective authorities; "in a few instances, these action plans may even lead to the formulation of concrete policy recommendations" (Page 2).

"Training content corresponded to real needs as revealed by the evident lack of basic skills and techniques. Exercises revealed that participants might have a conceptual grasp of tools and instruments but are incapable of applying them to their own work environment. Most participants, including financial comptrollers, tax accountants and local government secretaries had never used basic analytical tools such as revenue trend analysis in per capita or in constant monetary terms, linear or regressive projections of expenditures, financial analysis using performance ratios and indicators, etc...) (Final evaluation report submitted by UNCHS and EDI p. 7)

a) Institutional Objective of Strengthening the Local Training Institution Less Successful

"... even low expectations were not met for ENA ... partly as a result of recent bereavement in the family of the Directors of both the ENA and of its in-service training wing (Centre de Formation des Cadres-CFCC), the ENA presence during the entire course was left to a bare minimum, and its only substantive contribution to one of the sessions was rated by all concerned as very weak. The fact of the matter is that the CFCC has never fully recovered from the withdrawal of French technical assistance and that, with only two Ivorians on its present payroll, the centre remains grossly understaffed. In addition, during the preparation for this course, ENA did a poor job in terms of liaising with the Direction des Collectivités Locales (Department of the Ministry of the Interior responsible for the supervision of local authorities in Côte d'Ivoire). As a result, relations with DCL were quite strained and EDI/UNCHS staff had to make a valiant effort to patch up things".

"... more effective participation from CRAU, semi-autonomous research wing of the University of Abidjan ... " (no details provided in the reports).

"ENA ... is an antiquated structure and restricted in its mandate." This lack of autonomy vis-à-vis the central administration has the following consequences:

- . prohibits such institutions to adapt their curricula and methods which are academic and scholastic;
- . attitude of "dependency" whereby ENA plays a passive role in administrative reform and is unable to participate in identification of training needs, mobilization of resources, coordination of various actors and institutions that need to be involved in local government training programs;
- . place ENA in the position of having to rely on guest lecturers (government officials), no pedagogical approaches...."

"An institution-building effort , in such conditions, would require ToT, curriculum dev., attitudinal change and , not least, a revision of status and mandate and the hiring of additional permanent staff" "consequence important for the Govt of Côte d'Ivoire which considers ENA as the only legitimate institution for local govt. training".... "One alternative in Côte d'Ivoire could be the association of the Centre Ivoirien de Gestion des Entreprises (CIGE). .. is a semi-public management institute which is developing a "Development Management Programme"....collaboration with RHUDO-USAID..." (final eval. p.9)

Recommendation for Change in Strategy In Order to Widen Impact

- . postpone planned repeat of the course from FY 1988 to FY 1989 and replace with TOT;
- . instead of delivering another course, concentrate on finalization of a homogeneous, high-quality training manual and use TOT as a vehicle to give publicity to the new material and to ensure its widespread use and dissemination; (staff time and consultant to be co-financed: UNCHS to line up UNDP funds).

c) Institutional Objective: Round Table to Develop Network

- . opportunity to expose donors to substantive issues covered in the ESM and build upon the momentum of the course to enlist donor support for the regional network and, possibly, for similar training activities to be carried out at the national level;
- . first round table: six training institutions/training units and five donors;
- . list of issues and recommendations on the development of training in urban finance and management in the West Africa region produced (see "Table ronde sur la formation à la gestion urbaine municipale en Afrique de l'ouest, Abidjan , compte rendu 16 avril 1987") well worth reading in its entirety.

Also included is a list of actions that each institution committed to undertake.

1987 - TOT Regional Workshop for Trainers (French)

No activity brief.

1988 - TOT Urban Finance and Management, Kenya (UNCHS/EDI/USAID)

Objectives

- . exchange of information about training needs and resources required to deal with main urban issues in each country;
- . identify key constraints to overcome in each need area;
- . determine ways of using more effectively existing resources to respond to priorities;
- . agree on an agenda for action.

Participants

- . 22 officials from 9 Anglophone Africa countries and representatives from EDI, UNCHS, USAID, IDRC, and IULA; African participants were both providers (directors and lecturers of training institutes) and users (central and local government officials) of training in their countries.

Back to Office Report, Mauricio Silva, 1988 refers to summary of results in an Annex 2 which is absent from the document.

However, in the report prepared by Sandra Powell for USAID, one can find **country reports for each country** outlining three to five most important urban training needs, what is being done to meet the needs, what could be done better or differently, key constraints, resources that could be made available to other countries, resources that they would like to get from other countries. An interesting observation:

"The discussion illuminated some common perceptions of urban training needs, but there were key differences in approach:

the users felt the "on-the-job" training was much more useful and realistic, while the providers tended to move in the direction of more institutionalized programs. The providers wanted more detail from the users, particularly regarding audience and content of training. Users felt that some of the content reflected in the providers' report was not directly relevant to their needs."

(Page 3)

Main training needs identified were, in rank order: general management skills, financial management, operation and maintenance of urban services delivery and urban planning. Main constraints: lack of financial resources and qualified personnel, limiting policies and inadequate material. (End-of-Course Report Page 2)

Outcomes (as per USAID report):

- . recommendation that a workshop on general management skills for trainers be mounted in the next 12-18 months;
- . country reports basis for planning urban training in the future;
- . heightened awareness of the dynamics of consensus as a mode of decision-making;
- . strengthened sense of team-work for countries with many representatives;
- . networking - potential for exchange of materials, curricula and personnel.

1988 - Deuxième Table Ronde sur la formation en gestion urbaine municipale en Afrique de l'ouest, Dakar, 1988

Objectives

- . exchange information on needs identification methods and approaches in local urban management;
- . approaches and tools presented by a consultant with the Bureau Organisation et Méthodes, Dakar and UNCHS;
- . translation of needs into training strategies:
- . presentations by the ministries of the interior of Senegal and Côte d'Ivoire, responsible for development and implementation of training plans for "agents" in local governments, through various institutions in the sector (ENA, NGOs, etc. (see report Page 5);
 - . impact evaluation of training;
 - . determine next steps in building the network.

Participants

- . broader representation than in the first Round Table (see complete list - including Zaire, Burundi, Kenya, Senegal, Maroc, Côte d'Ivoire)

Outcome

- . agreement on next meeting (time and agenda);
- . CAFRAD to act as secretariat (Maroc).

Juin 1989 - TOT Urban Finance and Management (avec UNCHS, EDI, EAU et IIAP)

Population-cible

- . spécialistes d'administration centrale responsable de l'évaluation des besoins, de la définition et de la mise en oeuvre de la formation;
- . spécialistes de la gestion financière locale qui sont formateurs occasionnels lors de séminaires nationaux.

Aspects utiles du cours

- . training materials (guide de gestion financière);
- . communications skills;
- . case studies/field visits;
- . teamwork;
- . exercises, simulations, role plays;
- . moyens audio-visuels et informatiques.

Améliorations probables/réelles? (d'après les évaluations post-cours des participants)

- . comprendre les diverses options;
- . appliquer les méthodes et techniques;
- . analyser les besoins;
- . formuler des stratégies de formation;
- . préparer plans d'action pour entreprises;
- . évaluer actions entreprises;
- . utiliser moyens/techniques pédagogiques variés;
- . améliorer les compétences des autres.

Obstacles prévus

- . contraintes au niveau des politiques et procédures, absence de bases de données;
- . contraintes financières;
- . résistance de la part des supérieurs et collègues

NOTE: Participation de EAU (M. Soumare et autres):

Développement d'études de cas, matériaux, visites

*** January 1989, Workshop on Urban Finance and Management Training, Tunisia**

Again, organized by UNCHS, EDI and the Regional Housing and Urban Development Office for Near East and North Africa of USAID.

Although not officially in SSA, a similar activity to that of previous TOTs. Leads to a pilot regional programme in support of sustainable national action for local government training. Interesting document: Proposes an integrated strategy of TOT, training needs assessment and production of training materials...

April 1989 SPS: Workshops on Strengthening Local Government In Sub-Saharan Africa, Bologna, Italy

After about two years of concentration on a few ESMs, extensive effort on TOT and building institutional capacity to provide capability to local governments in urban finance and management, the focus changes to **policy levels issues**:

- . deconcentration versus decentralization: role of local authorities and devolution of authority and power;
- . financial, legal, institutional and managerial resources for local governments to fulfil their duties;
- . generating capability at the local level to properly take on the responsibilities: implementation of human and institutional development in strengthening local governments. Must build up simultaneously with the process of devolving power.

Objective As in other SPSs: exchange of information on issues.

Participants

- . Francophone: 28 delegates from 10 countries including one minister, 10 mayors and 17 other policy makers and representatives of African academic centres.
- . Anglophone: 33 delegates from 8 countries including 6 ministers, one governor, 12 mayors, and 14 other representatives.
- . eight observers from international donors' agencies, NGOs and seven Bank staff from 3 countries' operations divisions; ten speakers.

Conclusions and Results

They are documented in pp. vii, viii, 1 to 6 in Strengthening Local Governments in SSA. Proceedings of Two Workshops Held in Porretta Terme, Italy, March 5-17, 1989. A list of **Suggested Actions** by workshop participants for local governments, central governments and international donors is outlined for each of the Francophone and Anglophone Africa seminars. (Attached).

It is important to note that, while "with only minimum differences both groups endorsed decentralization and fully agreed on the need to enhance the performance of local authorities, the Back to Office Report (**April 3, 1989**) stressed that "the definition and concept of decentralization are not always clear, and it is therefore important to make decision makers aware of the differences between deconcentration, field administration, and devolution of power and local level".

Strong consensus that more efforts and innovative ways of building capabilities of local authorities are needed (including training and human resource development, revenue generation, and more exchanges of this kind).

Of particular interest is the fact that throughout the whole published report (blue book), a **constant comparison is made between Francophone and Anglophone Africa countries (stressing their differences)**:

Aside from the political/economic/size diversities represented in the anglophone group, it became clear that these individuals were accustomed to experimenting and testing different approaches to administration. They were a very heterogeneous group in terms of the positions they would take. Local officials from these countries were also more involved in the day-to-day operations and were relatively more open to collaboration with the communities, the private sector and NGOs.

By contrast, there was more homogeneity in the francophone countries, operating from a more highly centralized context, and consequently more accustomed to negotiating local decisions and pressuring for necessary resources, rather than dealing with alternative structures.

Finally, fundamental differences exist between the two groups in the way in which central governments relate to local governments and vice versa, and in the varying attitudes generated. Local officials in the francophone countries appeared comfortable operating with a limited degree of authority; in the anglophone system, there is a greater degree of autonomy and local officials seek and need greater independence in decision making. Thus "major reforms are more likely to materialize in the anglophone countries, while there will be a fine-tuning of existing systems in the francophone nations. For this reason, all actors exploring the potential of decentralization must be prepared to approach the issue from a different vantage point". (Blue Report, Page 6)

Sept 1989 - Follow up on SPS in Italy: Proposal for a Municipal Development Program

As a follow up to the workshops, a proposal for a Municipal Development Program funded by the Italian Ministry of Foreign Affairs, the Emilia Romagna Region and GTZ (CIDA, USAID, IULA, FCM, and the Netherlands (IHS) are also interested) evolved with EDINU and the Infrastructure Division of the Africa Technical Department of the World Bank. It aims at building capacity (experts and funds) to address policy issues related to local government reforms. A three-year program funded by donors (US 2 million) is proposed in order to provide the analytical capacity and resources for government, donors and NGOs to identify and support local government strengthening and training activities in SSA. The proposal is dated September 27, 1989 and signed by Jean H. Doyen, AFTIN. Proposal commitment from donors and appointment of a coordinating committee was expected for October 1989.

1989 - TOT Urban Finance and Management Training of Trainers, Nairobi
Sponsored by UNCHS, EDI and USAID.

Objectives

- . increase participants' knowledge and skills in urban finance management and federal management;
- . further the regional capacity to be more self sustaining in the design and delivery of urban training and delivery of urban training and development services to local governments.

Participants

- . 29 participants from 10 anglophone countries with exceeding roles and responsibilities regarding past course offerings including finance managers, general administrators, training institution staff officers and faculty, many representing senior positions in each of the 3 categories of urban/local government responsibilities.

Content

General management theory and strategy, financial management principles and practices and field visits to two urban councils.

Staff

UNCHS working with a team of counterpart in Kenya who were expected to play a major role in the next iteration of this series of programs to support institution building.

Jean Mazurelle in a memo dated October 23, 1989, is very critical of the content. He considered that the "management" content (situational leadership and personal styles inventories) while interesting makes little sense in Africa where the bureaucratic framework determines the hierarchy and jeopardizes every effort to even think of increasing effectiveness through a different way of sharing responsibility. He recommends to concentrate on "macro" management issues i.e. administrative decentralization, power building structures within the institutional framework, discrepancies between official's status and their role ...

He also estimates that the TOT component has never worked as well as envisaged:

"It is simply not possible to adequately prepare individual trainers in both the content and processes of urban finance and management training, by exposing them to the experience of an ordinary course. Training of trainers must be communication-skills oriented, even if we use urban finance as the content of the pedagogical method we teach. TOT means specific and quite sophisticated presentation techniques ... it is assumed that participants in these TOT courses are competent in the field of urban finance and that the TOT's aim is to turn them into practitioners of active pedagogical methods, and not only aware of the usefulness of these methods." (Page 2)

He suggests that the next urban training activity in Anglophone Africa focus on training methodology, design and skill development.

**Participants from Sub-Saharan Africa in the Water Sector
(excludes pedagogical assistance)
FY 85 to FY 89 Incl.**

<u>FY</u>	<u>Location</u>	<u>Activity Title</u>	<u>No. of Participants</u>
87	Burkina Faso	Regional Seminar in French on Rural Water Supply and Sanitation (ESM with CEFIGRE)	15
	Zimbabwe	Regional Seminar on Rural Water Supply and Sanitation (ESM with CEFIGRE)	17
88	Kenya	Regional Seminar for Trainers in Urban Water Supply and Sanitation (ToT)	12
89	Jordan	Regional Seminar on Urban Water Systems	1
	Morocco	Regional Seminar on Urban Water Pricing	11
	Senegal	Regional Seminar (Fr) on Water Supply and Sanitation (ESM with CEFIGRE)	13
			--
			71

WATER

Objectives: ultimately, to find ways of providing rural poor with improved access to safe water supply:

- . deconcentrate administration closer to rural communities;
- . devolution of authority and responsibility for management of systems to rural communities;
- . establish links between deconcentrated govt units and communities to allow intersectoral action and quick resource transfer;
- . community participation;
- . pricing policies to allow cross-fertilization:
- . user fees and cost-recovery;
- . training policy and institutions to provide hrd.

Strategy: From 1985-87, only p.a. In 1987 training aimed at "high-level technical staff responsible in ministries and agencies for the planning, construction, operation and maintenance of rural water supply and sanitation." Audio-visual presentations (2 weeks) on rural water supply and sanitation. ToT in '88 (but no participants from the "chosen " countries). One ESM in urban pricing in '89, and another seminar for high-level technicians in Senegal '89 (no report).

The strategy appears to have been much more "bottom-up": get lower levels to articulate policies and propose to senior levels.

Extensive use of 20 audio-visual training modules on water supply and sanitation.

NOTE: This sector has had few activities and few participants, as compared to the transportation and urban sectors. It, however, has developed a whole series of audio-visual modules which, if used, could have a multiplier effect...

ACTIVITIES:

1985-1987 : p.a. courses on water supply and sanitation

Organized by CEFIGRE. No activity briefs provided for the 4 activities (2 in '85 and 2 in '86)

**1987 : ESM - Regional Seminar In French on rural water supply and Sanitation , Burkina Faso
(2 week courses)**

ESM - Same, but in english, Zimbabwe

Institutional partners: . CEFIGRE and CIEH (Comité Interafricain d'Etudes Hydrauliques" Burkina, with support from the Burkina Water Ministry;
. CEFIGRE and U. of Zimbabwe

Objectives: " to discuss the issues and constraints involved in the planning, implementation and operation of rural water supply and sanitation projects and to elaborate proposals and recommendations for institutional development of the rural subsector."

Two days spent on community involvement and HRD.

Participants: . engineering background with specialization in rural works, some were part-time trainers in the sector. They were, in general, responsible in their respective countries for planning rural water supply and sanitation services. Country teams from Zimbabwe, Lesotho, Zaire...

Approach: lectures supported by audio-visual modules prepared by EDI. Very specific for this sector.

In the evaluation questionnaires participants considered the course to be helpful in assisting them to:

- . solve specific problems
- . understand how to make decisions
- . understand policy framework within which they work
- . find new or better ways of doing things

Most thought they could apply what they had learned back in their job and would use the materials upon return to the job

Zimbabwe : "Participants expect, back to their job, to be able to improve substantially the planning of rural water supply and sanitation and invest more efficiently funds allocated for the sector."

End of course evaluations for this session are less positive than for Burkina Faso:

most ratings are more towards middle of the scale except for training materials . When asked about whether they expect to refer to the materials, distribution is wider. Main areas of dissatisfaction is not enough examples and case studies and not enough time for country reports. Anticipated barriers to implementations: financial constraints.

1988 - Regional Seminar for Trainers In Urban Water supply, Kenya

Not reviewed as no participants are included in surveyed population.

1989 - ESM Regional Seminar on Urban Water Pricing, Morocco

Partner Institutions: CEFIGRE
ONEP - Office National de l'Eau Potable
UAWS - Union of African Water Suppliers

Objective: "devise policy options that can improve allocative efficiency in the urban water supply sector and achieve the sector's financial viability... draw to participants a clearer picture of the economic and financial issues involved in the planning and operation of urban water systems"

. "define the type of policies that may be acceptable to govts. and not detrimental to consumers, specially to low-income ones."

"Since attendance was at the managerial level, the meeting attempted to outline a strategy that the participants could follow to convince decision-makers of the appropriateness and the fairness of the proposed policies.

Participants: country officials involved in pricing issues
(Heavy emphasis on pricing structures)

Outcomes:

- . Participants unanimously agreed to work toward implementation by governments of the revitalized pricing policies recommended by the meeting.
- . However, no rush for reaching consensus.
- . Level of country representation good: selection by invitation (fully financed by EDI and UNDP).

**1988 - ESM Regional Seminar In French on Rural Water Supply and Sanitation, Senegal
(Participants from Senegal : Anta and Babou)**

Strong emphasis placed on :

- . delegation of operational responsibility to the communities themselves
- . community motivation and involvement and Human Resource Development

Participants: managerial level .. with a view to outline a strategy that the participants could follow to convince decision-makers of the appropriateness and the fairness of the proposed policies." (back-to-office-report p.1)

Problems Identified with selection:

. level of country representation considered inadequate: one rep. per country (except Senegal)
Reason: course financed by CEFIGRE and participants attended under fellowships financed mostly by USAID, GTZ, FED and WHO. Agencies accept to finance only one participant per country (costs considered high : travel and subsistence plus \$4000 US per participant for tuition fees).

This was considered to be an impediment to broader impact had country team been represented. Need to address the financing of participants issue

Course Evaluation:

- . Participants found course relevant and expected to improve their performance upon return to the workplace :
 - . improved skills in planning and managing rural water systems.
 - . making better decisions
 - . understanding policy alternatives

All participants agreed to work toward the implementation by govts. of the new conceptual framework discussed in the course

Anticipated obstacles:

- . policy and procedure constraints
- . financial constraints

The Back-to-Office report recd. that this type of course be offered on a more regular basis and that EDINU should provide assistance to regional institutions such as CIEH, , l'Ecole Inter-Etats d'Ingénieurs de l'Equipe Rural (EIER) , and ESAMI in obtaining financial support from bilateral aid agencies for the delivery of such courses.

ANNEX III

PERFORMANCE INDICATORS BY SECTOR

PERFORMANCE INDICATORS
TRANSPORTATION SUB-SECTOR

I - Policy Outcomes

- | | |
|-----------------------|--------------------|
| 1a - Policy Goals | Overall efficiency |
| 1b - Policy Processes | |

Actions

Indicators

Recognition by Ministers of need to:

- | | |
|--|--|
| - adopt unified planning, budgeting system | - preparation of government paper on policy issues |
| - increase allocation of resources to road maintenance | |
| - discussions with Senior, colleagues inside and outside Ministries to attempt changes in policies and management practices: | |
| . attitudinal changes | |
| - actions taken: | |
| . establishment of autonomous road authority | |
| - coordination between different levels of governments | - action taken |

II - Policy Actions

IIa - Opening Channels

Policy action planning:

- | | |
|---|--|
| - involvement of ministries in PAP program | - establish policy reform steering committee under roads minister task force/group |
| - appointment of PAP | |
| - progress in preparation of policy reform plan | |

Move towards Integration of activities in roads - unified planning:

- | | |
|---|---|
| - circulate EDI policy options document: | - extension of adoption of unified planning, budgeting system |
| . in/outside ministries | |
| . with/without instructions | |
| - discuss with other ministries to integrate activities in roads: | - draft documents, laws |
| . meetings | |
| . set up of planning committee | - unified plans |

Actions

Indicators

Increase allocation of resources to road maintenance:

- | | |
|---|---|
| <ul style="list-style-type: none">- increase budget to transport- actions of country- discussions with bilateral donors to move from construction to maintenance- increase \$ from donors for maintenance- using performance budgeting system | <ul style="list-style-type: none">- \$ shift to road maintenance- transfer of human resources to maintenance |
|---|---|

IIb - Improved Management

Use of tools from ESM:

- | | |
|--|--|
| <ul style="list-style-type: none">- adoption of equipment management systems or HDM-type management processes in allocating resources- pavement management systems- use of contractors- use of economic analysis as tool in decision making- carry out feasibility studies on their own- revised local procurement procedures | <ul style="list-style-type: none">- use of local contractors- use of labor intensive approaches |
| <ul style="list-style-type: none">- introduction of institutional reform to provide for degree of autonomy and accountability- review HRD policies and practices | <ul style="list-style-type: none">- incentives, improved classification, compensation, promotion, etc. |

Adoption of Intermediate options re: parastatals:

- | | |
|---|--|
| <ul style="list-style-type: none">- e.g. contract-plan approach- subsidies for specific services at below commercial rates | <ul style="list-style-type: none">- companies losing less \$ |
|---|--|

Implementation of cost-recovery and pricing measures:

- | | |
|--|--|
| <ul style="list-style-type: none">- raise in fuel taxes- increased user fees- establish road funds | <ul style="list-style-type: none">- increase % funds |
|--|--|

Actions

Indicators

Integrate technical assistance with manpower planning:

- | | |
|--|--|
| <ul style="list-style-type: none">- adoption of new or modified policy
re: career development, salary of staff- more use of local consultants- twinning with local/foreign enterprises- terms of reference for t.a. which are clear, measurable, monitorable objectives | <ul style="list-style-type: none">- text of policy- qualified local staff deployed to key planning and decisional roles- consultants used
- texts of terms of reference for assignments |
|--|--|

III - On Practitioners

- post activity interaction between SPSs and ESMs
- post activity interaction among participants:
 - . nationally
 - . regionally

- transfer of knowledge and positive experience between countries
- meetings, symposia, courses, materials, etc.

INSTITUTION BUILDING

A. TOT

- rapporteur's role in ESMs and SPSs

B. Network

- steps taken

C. Materials

- what is being used
- assessment

D. Technical Assistance

- impact of p.a. in ESAMI

PERFORMANCE INDICATORS

URBAN SUB-SECTOR

I - Policy Outcomes

Ia - Policy Goals Overall efficiency

Ib - Policy Processes Decentralization:

- recognition by Central Government of need to devolve authority to local governments
- attitudinal changes
- actions taken

II - Policy Actions

Ila - Opening Policy Channels (SPSs)

Actions

Indicators

Strengthen institutions at both levels:

- | | |
|--|---------------------------------|
| - financial | - \$ provided |
| - human resources | - quantity and quality |
| - create new institutions local government | - texts of regulations, laws |
| - create Bureau of Training | - lower rate of staff turn-over |
| - establish new or changed regulations governing status, responsibility, and salaries in local governments | |

Power sharing arrangements:

- | | |
|--|--|
| - move from control "tutelle" to move devolution of power | - participation by different levels in decision-making |
| - clarification of their own policy on sharing of responsibility | |

Transfer of funds:

- \$ transfered: conditional
unconditional
- \$ en subvention de l'État
- \$ mobilisés par l'État pour les villes par le Ministre des Finances
- \$ que les villes tirent elles-mêmes (cash pour Mairies)

Actions

Indicators

IIb - Improved Management

Increase local revenues:

- | | |
|---|---|
| <ul style="list-style-type: none">- implement "comptabilité analytique"- adoption of pricing techniques- user charges- improved, increased transfer of funds- implement better collections with State institutions to mobilize revenue:<ul style="list-style-type: none">organisation de servicesde recouvrement des taxes locales- discussion with central administration to control state of tax toll and taxes collected | <ul style="list-style-type: none">- new, improved accounting- % increase in \$ available to local governments- increased revenue from collection- procedures implemented with Minister of Finance to increase revenue from taxes |
|---|---|

Improved local management:

- | | |
|--|--|
| <ul style="list-style-type: none">- implement financial management techniques- budget preparation- land registration- land use control- squatter control | <ul style="list-style-type: none">- autonomy of budget preparation |
|--|--|

Cost containment:

- | | |
|--|---|
| <ul style="list-style-type: none">- contract out | <ul style="list-style-type: none">- e.g. concessions for garbage collection in Francophone Africa |
|--|---|

III - On practitioners (see interview questionnaire)

INSTITUTION BUILDING

A. TOT

- pursue needs assessment upon return to own country
- use EDI materials
- develop their own materials, courses, cases
- improve communications skills
- improve teaching and course design and development skills

B. Networks

- | | |
|---|--|
| <ul style="list-style-type: none">- exchange of materials- use of local consultants, researchers- links, consortia to do research, design materials, request \$ from donors | <ul style="list-style-type: none">- materials obtained, given- consultants used- exchange of faculty- increased assistance from donor agencies:<ul style="list-style-type: none">. technical assistance. fellowships. ped. assistance. equipment |
|---|--|

C. Materials

- use
- assess

PERFORMANCE INDICATORS

WATER SUB-SECTOR

I - Policy Outcomes

Ia Policy Goals

- increase efficiency of rural water supply

Ib Policy Processes

- recognition by central government of need to:
 - . devolve authority and responsibility to local communities;
 - . increase local community participation in decisions;
 - . link water and sanitation.

II - Policy Actions

Ila Opening Channels

Actions

Indicators

Strengthen institutions:

- | | |
|---|-------------------------|
| - establish regular links with those responsible for water and sanitation | - integrated strategies |
|---|-------------------------|

Power sharing arrangements:

- participation of communities and women in planning and operational responsibilities

Revitalize pricing policies (urban):

- | | |
|---|-------------------|
| - discussions to convince political decision makers to increase cost-recovery through application of: <ul style="list-style-type: none">. marginal cost pricing. adjust to income. adjust to peak periods | - draft documents |
| - convince decision makers to adopt cross-subsidization and use revolving funds (discussions and training) | |

Actions

Indicators

IIb - Improved Management

Use of management tools:

- implementation of revitalized pricing policies (see above)
 - move toward marginal cost pricing
 - adjusted to income distribution
 - selection of appropriate technology:
 - . simple, easy to maintain and operate
- break even or % increase revenue

Participatory mechanisms:

- involve communities in decisions on how changes for water services should be levied and distributed between consumers
- develop capability of communities to explore and implement payment systems acceptable to their population
- involve women in planning water supply system and health education

III - On Practitioners

- (see interview questionnaire)

INSTITUTION BUILDING

A. Materials

- what is being used
- assessment of A/V modules

STAGES IN POLICY IMPACT

- (see Yan Heggi document)
- in 10 years, start to see indicators materialize
- start with marginal increases in allocation
- then instructions given to improve
- then group set up to discuss
- draft law is set up

ANNEX IV

IMPACT ON POLICY PROCESSES AND OUTCOMES:

LETTERS AND GUIDELINES FOR INTERVIEWS

**Economic Development Institute
of The World Bank**

1818 H Street, N.W.
Washington, D.C. 20433
U.S.A.

(202) 477-1234
Cable Address: EDI INTBAFRAD
Telex No. ITT 440093
Fax No. (202) 676-0978

January 8, 1990

Lt. Col. Mensah-Gbedemah
PNDC Secretary for Roads and
Highways
Ministry of Roads and Highways
P.O. Box M-43
Accra
Ghana

Excellency:

You will recall that you attended an EDI-sponsored "Road Maintenance Policy Seminar" in Ghana in 1989. As part of EDI's efforts to be effective and responsive to the needs of countries such as yours, we are carrying out a follow-up study of the impact of that activity on policy developments and institution-building in your country.

EDI's seminars and courses held between 1985 and 1989 in Sub-Saharan Africa were designed in accordance with EDI's objectives for the period. These were: 1) to assist policy-makers and sector managers to establish improved policy and strategy frameworks for the cost-effective supply of infrastructure services, and 2) to develop the capability of African partner training institutions to offer programs in key aspects of infrastructure policy and sector management.

The purpose of this follow-up study is to find out to what extent EDI has been successful in meeting these objectives. We believe that the best measure of impact will be what participants have been able to achieve after their return to their jobs. We believe that the most effective and efficient approach for such an evaluation is by direct personal contact with the participants through a relatively short interview.

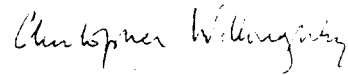
We have asked an external consultant, Mrs. Suzanne Taschereau, Associate Director, Training and Organizational Development, of the International Development Research Center (IDRC), Canada, to assist us with this study. She will be visiting Accra from February 24 to March 3, 1990. I would be most grateful if you would participate in such an interview to include yourself, and, where relevant and applicable, other members of your country's team who attended the course. She will be particularly interested in discussing what you had hoped to apply to your work after the course, what actions you were able to take and what constraints you faced. We are not seeking any personal information from you, nor is the purpose of the study to evaluate the seminar participants or their agencies. This is an objective evaluation of EDI-sponsored activities.

under its infrastructure program. Mrs. Taschereau will keep your observations strictly confidential.

To set up an appointment, please contact the World Bank Resident Representative, Mr. Silvio Capoluongo, (tel: 229681) as soon as possible. As we are trying to finalize travel and appointment schedules as soon as possible, I would appreciate your early response.

Thank you in advance for your kind assistance.

Yours truly,

A handwritten signature in cursive script, appearing to read "Christopher Willoughby".

Christopher R. Willoughby
Director

**Economic Development Institute
of The World Bank**

1818 H Street, N.W.
Washington, D.C. 20433
U.S.A.

(202) 477-1234
Cable Address: EDI INTBAFRAD
Telex No. ITT 440098
Fax No. (202) 676-0978

le 17 janvier 1990

M. Philippe Harding
Directeur des Collectivités Locales
Ministère de l'Intérieur
Abidjan 01
Côte d'Ivoire

Monsieur,

Sans doute vous souvenez-vous d'avoir assisté en 1989 à un Séminaire sur le Renforcement des Collectivités en Afrique, organisé par l'IDE. Les séminaires comme celui auquel vous avez participé, visent à favoriser l'échange d'expériences entre cadres supérieurs et experts étrangers, pour permettre la mise en oeuvre de politiques sectorielles susceptibles d'améliorer le rendement des infrastructures et des services urbains et de renforcer la capacité institutionnelle des établissements de formation dans votre pays.

Dans le cadre de l'évaluation de ses activités, l'IDE a demandé à une consultante, Mme. Suzanne Taschereau, Directrice Associée, Formation et Développement, du Centre de Recherches pour le Développement International (CRDI), Canada, de mener une étude sur l'impact des activités de l'Institut en Afrique au Sud du Sahara dans le domaine des infrastructures et des services urbains.

Un des objectifs de cette évaluation est d'analyser dans quelle mesure les politiques sectorielles développées dans les activités de l'Institut ont été mises en oeuvre ou à quels obstacles ces politiques se sont heurtées, c'est-à-dire, dans quelle mesure vous avez pu appliquer ce que vous avez appris à l'occasion de nos activités.

Mme. S. Taschereau sera à Abidjan du 10 au 17 mars 1990. Je vous serais très obligé de lui accorder un entretien pour discuter de ces questions. Les autres participants seront contactés par un courrier identique.

Je tiens à préciser que nous ne sommes pas à la recherche d'informations personnelles et que le but de l'étude est d'évaluer les activités de notre Institut et non pas de discuter du bien fondé ou non des politiques sectorielles que vous avez cherché à mettre en place dans le secteur qui nous intéresse. Les informations et jugements dont vous nous ferez part resteront, bien entendu, confidentiels.

Je vous remercie de prendre contact avec le représentant de la Banque Mondiale dans votre pays, M. Elkyn Chaparro, tél: 44-22-27, pour lui donner la date et l'heure qui vous conviennent le mieux pour cet entretien. Il se permettra de coordonner les disponibilités de chacun et vous proposera une date de réunion.

Si nous recherchons votre collaboration dans cette évaluation, c'est d'abord pour améliorer nos futures activités en tenant compte de votre opinion. Aussi, je vous en remercie à l'avance et vous prie de croire, un Séminaire sur le Renforcement des Collectivités Locales in Afrique, à l'expression de mes salutations distinguées.

A handwritten signature in black ink, consisting of several overlapping horizontal and vertical strokes, creating a stylized, somewhat abstract representation of the name.

Armand Van Nimmen
Chef

Division Infrastructure et Développement Urbain

GUIDELINES FOR INTERVIEWS

1.
 - a) Introduction of interviewer, presentation of business card, explanation of relationship to EDI
 - b) Role of the interviewer: why he/she was chosen confidentiality
2.
 - a) Introduction of the evaluation: why it is being done, what EDI hopes to learn, what EDI will do with the results
 - b) Overview of the general structure of the interview; agreement on time available.
3. Actual interview (see **Interview Questionnaire**)
4. Explanation of follow up

2. Introduction of the Evaluation Project - for SPS and ESM participants

EDI's Goals

EDI's goals in infrastructure in SSA were essentially process-oriented:

- to facilitate the policy development process by introducing policy makers to policy alternatives and to systematic approaches to policy reform;
- to facilitate the sharing of knowledge and techniques with peers from one's own country and from abroad.

Underlying these process goals are the goals of:

- improving effectiveness of infrastructure sectors by application of management approaches introduced in the courses; and
- contributing to the reinforcement of sector institutions.

Project Mission

To evaluate the impact of EDI activities in SSA (1985-1989) in reaching these goals, by assessing, for each sector:

a) the various contributing factors:

- selection of participants
- number of participants (critical mass)
- acquisition of substantive knowledge and/or skills:
 - i) from materials
 - ii) from participants (other country, specialists)
 - iii) from other members of country teams
- applicability of policy measures (SPS)/managerial approaches (ESM) at the time the course was given-continued relevance
- policy environment at the time within country - now
- link between EDI priorities and those of the country, possibly via Bank activities
- availability of support from senior officials/managers as a result of coordinated efforts at SPS-ESM
- follow-up steps taken by EDI or Bank staff to support "return to work" potential
- contribution of national and regional training institutions supported by EDI training efforts
- contributions of activities to inducing action
- barriers to implementation (political agendas, economic situation in country, bureaucratic, adequacy of staff, rotation of staff, funding, donor support, time/workload, institutional setup, etc . . .)

b) the impact on individual policy practitioners in terms of:

- improved substantive understanding of the field, policy context, policy alternatives (SPS)/how to formulate and implement managerial innovations (ESM)
- improved understanding of management needs (ESM)
- improved skills to analyze and solve problems
- improved capacity to sell ideas
- introduction of improved management tools
- interaction with SPS participants (if any) - consequences
- evidence of application of ideas
- introduction of action plans
- personal improvement in status/influence
- utilization of contacts
- creation of formal and informal networks
- transfer of experience to junior staff or others

c) the impact of actual policy actions and outcomes:

- indicators noted by sector are to be found in Document 1.

INTERVIEW QUESTIONNAIRE (SPS - ESM)

A - GENERAL INFORMATION

Date: _____

Course attended: _____

1. Country

- a) Zimbabwe (E1)
- b) Ghana (E2)
- c) Senegal (F1)
- d) Côte d'Ivoire (F2)

2. Sector

- a) Transportation
- b) Urban
- c) Water

3. Type of course

- a) SPS
- b) ESM
- c) TOT

4. Year of course

- a) 1985
- b) 1986
- c) 1987
- d) 1988
- e) 1989

5. Level of responsibility

- a) Minister
- b) Permanent Secretary
- c) Director/Policy Maker
- d) Operational manager
- e) Trainer

6. Employed by

- a) Central Government
- b) Local Government
- c) Parastatal
- d) Training Institute
- e) Other _____

7. Position following course

- a) Same
- b) Different with Increased Responsibility
- c) Multiple Moves:
How many? _____

8. Part of country team?

- a) No
- b) Yes: Number of participants
and their levels
_____participants

9. Participants from country in other courses?

- a) Preceeded by particip. from same ministry
- b) Followed by particip. from same ministry
- c) Preceeded by particip. from other relevant ministry
- d) Followed by particip. from other relevant ministry
- e) Unknwown

10. How was he/she selected? By whom and for what reasons?

B - IMPACTS AND CONTRIBUTING FACTORS

1. What did you find beneficial?
(Review objectives of specific course attended)
 - i) If facts, knowledge, techniques, please specify. Were these applicable? If not, why not?
 - ii) If contacts, why was this important? Specify what aspect of the course made this useful.
 - iii) Identify lasting impacts regarding superiors; peers in/between ministries, outside the country.
2.
 - a) Were policy options (SPS)/management approaches (ESM) appropriate/applicable in your country at that time? Now?
 - b) Was your country involved in policy reform, policy dialogue regarding proposed alternatives at the time?
 - c) Was your country involved in negotiating loan from donors conditional upon consideration of proposed alternative policies

3. Can you tell me about a policy change (SPS)/management approach (ESM) that you wanted to apply following the seminar? What made that approach attractive to you?
4. What did you do, or try to do, when you returned to your work? (give examples of the way in which you have used, or tried to use, the policy approaches/techniques and skills you acquired in the course)
 - i) Had you developed action plans?
 - ii) Were you in a position to implement or did you have to convince someone to implement?
 - iii) Were you successful? If yes, give examples and consequences. If not, why not?
5.
 - a) Were you able to share what you learned in the course? How?
 - b) Do you still use the materials? How? How often?

6. If SPS preceeded or followed ESM,

To what extent, and under what circumstances were they linked?

7. Was there ever any follow up by EDI, national/regional institutions or bank? If yes, specify the nature and results. If no, what type of follow up would have helped you?

8. Did you ever attend courses of this nature given by other donor agencies or African institutions?

How did the courses compare?

9. Your suggestions for EDI:

C - GENERAL INFORMATION (Questions for trainers only)

1. Are you a:

- a) part-time trainer
- b) full-time trainer

2. Are you working in:

- a) an autonomous training institute
- b) a government management training institute
- c) a semi-autonomous training institute
- d) a training branch of an agency

3. Before you attended the course, had you attended TOT courses provided by donors, African or foreign institutions?

- a) Yes. Specify _____
- b) No

4. Objectives of the Course

What did you find most beneficial?

a) Knowledge of training approaches

b) Skills you acquired in:

- training needs assessment
- communication approaches
- design and development of courses in the sector

Were these applicable? If not, why?

Contacts With Other Trainers

What aspect(s) of the course made this beneficial?

What lasting impact has occurred?

- a)** network of contacts
- b)** exchange of material
- c)** collaboration

5. a) Was your training institute involved in training in the sector when you attended the course?

b) Did it have a mandate and funds to carry out this type of training?

6. To what extent did the course help you to improve your ability to:

- a) carry out training needs analysis?
- b) formulate training strategies?
- c) teach courses in the sector using new methods and pedagogical techniques?
- d) develop materials?

7. What did you do or try to do when you returned to your work?

Following the course, did you:

- a) deliver seminars in the sector using EDI materials? Specify number of participants.
- b) design and teach courses in the sector using your own materials? Specify course and number of participants.
- c) carry out or complete the training needs assessment? What was done with the assessment?
- d) do some consulting work within or outside your institution?
- e) design new materials?
- f) exchange materials with other course participants?

Did you draw up action plans in the course?

How successful were you at implementing these plans? Explain why you were not successful.

- 8.** To what extent do you think that the kind of training you could organize following a TOT could influence sectoral policies?
Which ones? How?
- 9.** Your suggestions for EDI:

INTERVIEW QUESTIONNAIRE FOR SUPERVISORS OF ESM PARTICIPANTS

1. Introduction of interviewer. Purpose of study. Agree on time.
2. Establish contributing factors and impacts as outlined in Document 2. Essentially similar questions but aimed at validating information provided by participants in the courses (demonstrated improvements in management skills, introduction of new management techniques, demonstrated improvements in understanding the larger policy context, changes in consultative mechanisms within the agency, with other agencies or bodies ... contribution of EDI to those).
3. Barriers to implementation.
4. Suggestions for EDI to increase impact.

INTERVIEW QUESTIONS FOR SENIOR OFFICIALS IN CENTRAL AGENCIES

(Reliable source of objective and informed opinion on impact of EDI activities on policy outcomes and processes and on institutional development in each sector studied - possibly a supervisor of SPS or ESM participants)

- 1. Introduction of the interviewer. Purpose and scope of the evaluation. Agree on available time.**
- 2. Review activities for the period, for the relevant sector (courses, types of courses, # of participants, nature of country team efforts, technical assistance and pedagogical assistance to institutions, assistance from other countries via networks established through EDI, role of other agencies, particularly in training, TOT, provision of materials).**
- 3. Are you familiar with these activities? How have they contributed to observed policy impacts? (See indicators). Give specific examples.**
- 4. If there are no policy or institutional impacts, what obstacles exist? (barriers: economic and political situation, possible inappropriateness of policy approaches introduced by EDI, skills and capacity within the bureaucracy, institutional setup, funding, others ...)**
- 5. Suggestions for improving EDI's impact on policy.**

INTERVIEW OF RESIDENT REPRESENTATIVES

1. Introductions. Purpose of the evaluation: What EDI hopes to learn. Thank participants for their assistance and contribution.
2. Topics to discuss with Res. Representatives (go over and agree on time available):
 - a) Review of EDI objectives and activities in each sector (1985-90) in that country: Are they familiar with the activities?
 - b) Policy environment during the period for the three sectors:
 - policy dialogue environment during the period
 - Bank presence and conditionality attached to donors' loans
 - institutional structure/bureaucratic - administrative framework within the country (systematic barriers to implementation of policy approaches presented in EDI courses?)
 - degree of centralization/decentralization
 - role and relation of legislative bodies, ministers,
 - sector policy makers and managers
 - institutional capacity during the period:
 - existing amount of skills:
 - expertise in policy in sectoral ministries
 - expertise in planning and finance ministries
 - training institutional capacity in the sectors
 - c) Have there been any policy changes/development of institutions? How have EDI activities contributed to those? Provide examples.
 - d) How could EDI increase its impact on policy development and on institutional capacity building?
3. Follow up to interviews carried out during the week. If available, would appreciate seeing participants again.

ANNEX V

**IMPACT ON INSTITUTION BUILDING :
LETTERS AND GUIDELINES FOR INTERVIEWS**

**Economic Development Institute
of The World Bank**

1818 H Street, N.W.
Washington, D.C. 20433
U.S.A.

(202) 477-1234
Cable Address: EDI INTBAFRAD
Telex No. ITT 440098
Fax No. (202) 676-0978

M. M. George Aithnard
Directeur
African Development Bank Training
Centre (AfDB/TC)
01 B.P. 1387
Abidjan 01
Côte d'Ivoire

le 17 janvier 1990

Monsieur le Directeur,

Au cours de ces dernières années, votre établissement a eu l'occasion de collaborer avec la Division infrastructure et développement urbain de l'IDE de la Banque Mondiale.

Dans le cadre de l'évaluation de ses activités, l'IDE a demandé à une consultante, Mme. Suzanne Taschereau, Directrice Associée, Formation et Développement, du Centre de Recherches pour le Développement International (CRDI), Canada, de mener une étude sur l'impact des activités de l'Institut en Afrique au Sud du Sahara dans le domaine des infrastructures et des services urbains, et en particulier, pour ce que vous concerne, sur l'impact éventuel de votre collaboration avec l'IDE sur le renforcement de votre institution.

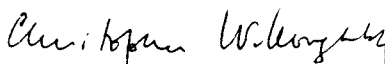
Madame Taschereau s'intéressera surtout aux résultats de la collaboration institutionnelle, que ce soit dans le domaine de la formation de formateurs, l'aide technique, la réalisation et la diffusion de matériel pédagogique, etc... Elle cherchera à comprendre à quels obstacles vous vous êtes heurtés dans la mise en oeuvre de vos programmes, et comment une meilleure collaboration avec l'IDE pourrait vous aider.

Mme. S. Taschereau sera à Abidjan du 10 au 17 mars 1990. Je vous remercie de lui accorder un entretien pour discuter de ces problèmes, et d'y associer les membres de votre personnel qui ont été impliqués dans cette collaboration.

Je tiens à préciser que nous ne sommes pas à la recherche d'informations personnelles et que le but de l'étude est surtout d'évaluer les activités de notre Institut. Les informations et jugements dont vous nous ferez part resteront, bien entendu, confidentiels.

Je vous remercie de prendre contact avec le représentant de la Banque Mondiale dans votre pays, M. Elkyn A. Chaparro, tél: 44 22 27, pour lui donner la date et l'heure qui vous conviennent le mieux pour cet entretien.

Si nous recherchons votre collaboration dans cette évaluation, c'est d'abord pour améliorer les activités que nous entreprendrons dans le future avec votre institution ainsi qu'avec d'autres institutions en Afrique. Aussi, je vous en remercie à l'avance et vous prie de croire, Monsieur le Directeur, à l'expression de ma considération.


Christopher R. Willoughby
Director

**Economic Development Institute
of The World Bank**

1818 H Street, N.W.
Washington, D.C. 20433
U.S.A.

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Fax No. (202) 676-0978

le 12 janvier 1990

M. Raoul Niang Ndiaye
Chef Service
Formation
Ministère de l'Intérieur
B.P. 3838
Dakar
Sénégal

Monsieur,

Sans doute vous souvenez-vous d'avoir assisté en 1988 à une Table Ronde sur la Formation à la Gestion Urbaine Municipale en Afrique de l'Ouest, organisée par l'IDE. Les séminaires comme celui auquel vous avez participé, visent à favoriser l'échange d'expériences entre cadres supérieurs et experts étrangers, pour permettre la mise en oeuvre de politiques sectorielles susceptibles d'améliorer le rendement des infrastructures et des services urbains et de renforcer la capacité institutionnelle des établissements de formation dans votre pays.

Dans le cadre de l'évaluation de ses activités, l'IDE a demandé à une consultante, Mme. Suzanne Taschereau, Directrice Associée, Formation et Développement, du Centre de Recherches pour le Développement International (CRDI), Canada, de mener une étude sur l'impact des activités de l'Institut en Afrique au Sud du Sahara dans le domaine des infrastructures et des services urbains.

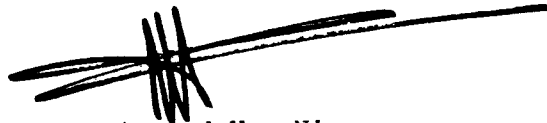
Un des objectifs de cette évaluation est d'analyser dans quelle mesure les politiques sectorielles développées dans les activités de l'Institut ont été mises en oeuvre ou à quels obstacles ces politiques se sont heurtées, c'est-à-dire, dans quelle mesure vous avez pu mettre en pratique les méthodes apprises à l'occasion de nos activités.

Mme. S. Taschereau sera à Dakar du 3 au 10 mars, 1990. Je vous serais très obligé de lui accorder un entretien pour discuter de ces questions. Les autres participants seront contactés par un courrier identique.

Je tiens à préciser que nous ne sommes pas à la recherche d'informations personnelles et que le but de l'étude est d'évaluer les activités de notre Institut et non pas de discuter du bien fondé ou non des politiques sectorielles que vous avez cherché à mettre en place dans le secteur qui nous intéresse. Les informations et jugements dont vous nous ferez part resteront, bien entendu, confidentiels.

Je vous remercie de prendre contact avec le représentant de la Banque Mondiale dans votre pays, M. François-Marie Patorni, tél: 23-36-30, pour lui donner la date et l'heure qui vous conviennent le mieux pour cet entretien. Il se permettra de coordonner les disponibilités de chacun et vous proposera une date de réunion.

Si nous recherchons votre collaboration dans cette évaluation, c'est d'abord pour améliorer nos futures activités en tenant compte de votre opinion. Aussi, je vous en remercie à l'avance et vous prie de croire, Monsieur, à l'expression de mes salutations distinguées.

A handwritten signature in dark ink, consisting of several overlapping horizontal and vertical strokes, positioned above the printed name.

Armand Van Nimmen
Chef

Division Infrastructure et Développement Urbain

EVALUATION OF IMPACT ON INSTITUTION BUILDING

1. Process for the Individual Institutions

A. Data will be collected through various methods:

- reading of end-of-activity reports from EDI;
- interviews with the director and staff from the institutions;
- review of documents (course materials, statistics, end-of-course reports) from the institution, etc.;
- where possible and appropriate, interview participants in courses delivered by the institution e.g. ESAMI;
- where possible and appropriate, interview other donors who can provide another perspective on the institutional capacity and on EDI's role e.g. UNCHS for urban;
- component of interviews with senior managers of the sector in agencies and enterprises (SPS interviews).

B. Prior to the arrival of the evaluator, EDI personnel contacts institution, explains purpose of the evaluation and arranges:

- a personal interview with the director of the institution;
- individual or group interviews with staff members who were directly involved in collaboration activities with EDI.

C. The evaluator will first meet with the director of the institution:

- introduce herself, review the purpose and scope of the evaluation;
- discuss issues of confidentiality, purposes of gathering of data;
- indicate the process: first interview the director and then key staff, other stakeholders;
- obtain commitment to proceed (interviews and access to any required documentation);
- agree on follow-up meeting if time is available.

D. Interview with the director about impact on the institution and contributing factors (see questionnaire). The attached list of contributing factors and indicators will be used to categorize information provided.

E. Individual or group interviews with key staff who collaborated with EDI: impact on the institution and on the individuals.

2. For the Network (Urban)

If possible, arrange for a group interview in Abidjan and another in Dakar. If not, arrange for individual interviews. See attached questionnaire.

1. EDI's Objectives In Institution Building

Contribute to the overall viability and self-reliance of institutions by:

- improving the quality of the relation between them and key authorities, collaborating agencies and other training institutions;
- improving skills of teaching staff to provide services which are relevant to African experiences and priorities;
- strengthen the internal management capacity in areas of planning, marketing, financial management, staff management and administration.

2. Contributing Factors

- nature of the collaboration between EDI and the institution:
 - financial
 - logistical support
 - transfer of knowledge or skills:
 - learn from observation of EDI trainers (P.A.)
 - by doing with or without coaching from EDI
 - from formal training (course content, other part.)
 - from materials
 - technical assistance
 - follow up to support implementation
 - broker in establishing links between institutions
 - catalyst: make things happen that otherwise would not;
- importance of the sector in overall policy environment in the country;
- legal status of the institution (autonomy: financial, in decision-making;
- clarity of mandate;
- focus of objectives and services: content versus client
- staff capacity: expertise and skills, quantity, turnover
- internal structure - effectiveness of leadership;
- effectiveness of management systems: planning, financial management, staff management and administration policy and practices;
- linkages with external agencies:
 - credibility with key agencies
 - capacity to multiply;
- coordination of activities from other donors;
- barriers to implementation (limitation in mandate, lack of financial and decision-making autonomy, lack of availability of qualified staff, turnover, poor coordination with other donors, etc.)

3. Impacts

Objectives

**Making the Institution
Increasingly acceptable to
key authorities**

Improving expertise in the sector

Effectiveness as a training centre:

- planning
- marketing
- financial management
- staff management and administration
- delivery of training

**Growth in demand for services
services**

Growth in influence

Capacity to multiply

Maturation (client-centered, endogenous)

Performance Indicators

- increased credibility with key agencies
- ability to secure sustained funding
- increased autonomy
- faculty recruited: quantity/quality
- faculty retained: " /", full/part-time
- skills and experience of the above
- publications and other materials produced
- training plan and objectives
- marketing strategy and actions
(new markets touched, reached)
- systems for selection, logistics, billing
- break even or make profit
- new/improved policies, practices in staff
salaries, training, etc.
- quality of needs assessments, quality and
quantity of courses designed and delivered,
quality and quantity of materials produced
- cost and time to produce the above
- number of trainees serviced
- level of trainees
- tuition paid
- training contracts negotiated
- linkages to policy officials
- policies process/outcomes affected
- materials produced and disseminated
- assistance to other institutions
- network activities: exchanges of staff, courses,
materials
- systematic needs assessments with clients
- design and delivery of own courses and materials
- consultancy activities
- systematic evaluation of activities
- research
- follow-up activities

QUESTIONNAIRE FOR INSTITUTIONAL DIRECTORS

1. Review collaboration activities from 1985-90, confirm nature of EDI's contribution and the Institution's contribution:

- p.a.
- t.a.: Specify:
- financial
- material preparation: cases, course material, etc.
- attendance at courses
- other:

2. What were your expectations of that collaboration?

3. How has your Institution benefitted from this collaboration?

- increased legitimacy, credibility of the institution regarding government and operations. Why? How?
- improved skills: training (methods, materials, evaluation??)
- management (planning, marketing, logistics??) Specify which skills, who, how used
- improved systems: give examples and results
- broker in establishing links
- materials (which, how used, modified?)

Note: Look for specific examples.

4. To what extent have these contributed to strengthening the capacity of your institution? (Look for Indicators of Impact, as outlined.)

e.g. credibility with key agencies because of better programs capacity to multiply: dissemination of materials current skills of staff vs. previous

5. Assessment of contributing factors other than EDI collaboration: What is the legal status of the Institution?

- autonomous
- semi-autonomous
- part of an operational agency
- "tutelle" of the government

Is the mandate clear/ambiguous:

- providing training courses?
- improving the quality of management, administration and policy-making in practice?

What are the objectives and who are the clients?

Extent to which the services are close to the client base:

Courses:

- content-oriented?: (laws, regulations, administrative process and environment, written communication)
- action-oriented?: (replication of EDI courses or adaptation)
- consulting activities?
- applied research in response to immediate client needs?

Staff capacity:

- skills and experience, number of part-time and full-time, turnover, ability to attract and retain

6. Presence of other donors? Who? Coordinated with EDI?

Yes: How?

No: Type of activity:

- duplicate?
- overlap?
- contradict?

To what extent are the benefits outlined the result of EDI's efforts? Other donors? Concerted efforts?

7. Obstacles you face in strengthening your institution's capacity?

8. How could EDI help?

QUESTIONS FOR STAFF WHO COLLABORATED DIRECTLY WITH EDI ACTIVITIES

- 1. Review the nature of the activity(ies) to which they collaborated with EDI. (See Question 1 for directors.) Establish the nature of the relation between EDI activities/personnel and the Institution staff.**
 - logistical support
 - learn by watching
 - coaching, transfer of skills
 - joint teaching, preparation of materials, etc.
- 2. What were your expectations of that collaboration?**
- 3. How has the Institution benefitted? (See Question 3 for directors.) How have you benefitted Individually? (Look for concrete examples of skills used, materials developed, etc.)**
- 4. Assessment of impacts on the institutional level and of contributing factors. Impacts on the Individuals regarding the use of the skills they learned, career development, etc.**
- 5. What did you try to implement as a result or following collaboration activities with EDI?**

What did you succeed in implementing? (Impact regarding Indicators)
- 6. What obstacles have you faced in trying to Implement? (Look for external as well as Internal barriers - support from the leadership for example.)**
- 7. Have you collaborated with other donors? Nature of the collaboration? Coordinated? Not? Compare benefits.**
- 8. How can EDI help to strengthen your Institution?**

INFORMATION ON EDI'S OBJECTIVES AND EXPECTATIONS

REGARDING INSTITUTION BUILDING

1. Name of Institution: _____

2. Nature of EDI's collaboration with the Institution:

- fill a gap to deliver a given course
- materials (EDI-provided resources)
- manpower (knowledge, expertise)
- cooperate with local trainers to develop course outline
- get local expertise to develop materials relevant to the african situation (e.g. case studies, segments of courses)
- provide financial support
- obtain co-financing
- obtain logistical support
- produce new course materials (either for EDI or the institution)
- design a new course
- train trainers:
 - administrative skills and management of training
 - pedagogical methods
 - production of materials
- provide the African institution with EDI's credibility to attract more participants to a given course
- other: Specify:

3. Duration of EDI's assistance and/or cooperation:

4. What was the expected result of that cooperation?

- increased credibility of the institutions in key agencies
- increased funding
- improve skills of staff: in what areas?

- use and replication of EDI courses/materials

- the institute becomes an apex institution for other in the region?
- other?

5. What was the actual result of that cooperation as far as you are concerned?

6. Contact person(s):

Who should we be interviewing in the institution? Who cooperated with EDI directly?

QUESTIONNAIRE POUR LE RÉSEAU DE FORMATION DE LA GESTION

MUNICIPALE EN AFRIQUE DE L'OUEST

Abidjan, mars 1987

Dakar, juin 1988

1. Revoir les objectifs établis par la Table Ronde:

Abidjan: définir une stratégie de renforcement de la capacité d'un réseau d'institutions ou d'unités de formation à même d'identifier et de faire face aux besoins de la formation à la gestion urbaine municipale en Afrique de l'Ouest

Dakar: avoir un échange d'information entre les institutions et unités de formation sur qui fait quoi et comment dans les domaines de l'identification des besoins de formation à la gestion urbaine locale, la traduction des besoins en stratégies de formation, évaluation de l'impact et la façon dont les réseaux aident les institutions de formation en Afrique;

identifier les moyens nécessaires pour mieux utiliser les ressources existantes dans ces domaines;

définir le rôle des acteurs africains et extérieurs dans le renforcement des capacités de formation en Afrique.

2. Qu'est ce qui vous a amené à participer à la (aux) Table(s) Ronde(s)? Quelles étaient vos attentes:

- face aux autres membres?

- face à l'IDE? (Rôle de facilitateur? "Arbitre" donnant une structure? Apporter des fonds?)

- face au CNUEH?

3. Qu'avez vous retiré du réseau?

- échange d'idées (applicables? matérialisées?? exemples...)
- échange soutenu avec les autres membres:
 - matériaux de formation, documents
 - personnel
 - collaboration sur projets
 - autres activités conjointes entreprises

4. Qu'étiez vous disposé à y contribuer? Qu'avez vous en fait contribué? Donnez des exemples.

5. Un tel réseau est-il utile? Si oui, pourquoi? Quelles conditions doivent être mises en place pour que le réseau soit efficace?

6. Vos suggestions pour l'IDE.

ANNEX VI

POLICY ENVIRONMENT IN COUNTRIES SELECTED FOR INTERVIEWS

ZIMBABWE AND GHANA

These two anglophone african countries were at opposite ends of the spectrum in many respects, reflecting the heterogeneity to be found in that part of SSA:

Zimbabwe:

- . recent independence (10 yrs)
- . political constraints important (social imperatives) as are institutional constraints in adopting eg. transport policy
- . keep a distance from World Bank policies
- . strong local government structure
- . good infrastructure but begins to show cracks

Ghana:

- . the first independent country in Africa (1957)
- . financial and institutional constraints to implementation of policies
- . in agreement with World Bank policies: large investments
- . weak local government structure: tendency to recentralize (almost non existent)
- . infrastructure in bad need of rehabilitation

Both countries face institutional constraints in implementing policies :

- . shortage of qualified engineers and financial experts (analysts, accountants, etc). Many leave the country or go to the private sector because of low salaries.
- . complex and lengthy recruitment processes.
- . lack of coordination between ministries in planning: no forum for dialogue . Mostly lobbying and negotiation.

ZIMBABWE

POLICY ENVIRONMENT

Zimbabwe got its independence only 10 years ago. It inherited a good level of infrastructure serving mostly the white minority. The government of Zimbabwe has been preoccupied with rendering more services to its black majority (more roads to provide townships with access to agricultural markets, education , etc.) . The political imperative of providing services perceived to be of the same standards for all people, black or white, was such that the government neglected maintenance of infrastructure.

With an annual increase in population of 3% and low investment in maintenance , cracks are beginning to appear : there are frequent power cuts, telephone lines have reached capacity, roads are deteriorating (although still **much** better than those of most other african countries), urban water and garbage collection services are in need of investment.

Over the early period covered by the study, the Government was slowly paying more attention to infrastructure. There has been a renewed sense of urgency over the last 2 years because of the changing situation in South Africa. But the pressure of providing social services is still there. And it is difficult to increase revenue through user fees in a population that is already heavily taxed (ranging from 30% for salaries of \$2,000 US. to 60% of salary for those earning \$20,000 US.).

While most of the participants who were interviewed made it clear that Zimbabwe did not appreciate World Bank conditionality, there was a recognition that the policy issues had to be addressed. The main constraint facing decision-makers is where to find the money ("the World Bank assumes that there is an unlimited amount of money ").

The public service is relatively well educated in Zimbabwe. There is a lot of mobility within and across ministries. The sample of participants to EDI activities from 1985-90 is indicative: Out of our sample of 26 participants, 4 had been promoted within the ministry and 2 had been promoted to another ministry. The total attrition rate outside the ministry was of the order of 30% for the period covered (this includes those who moved to another ministry, retired , left the country and mayors whose 1-year terms were up).

There is an erosion of capability as many with marketable skills go to the private sector or to South Africa (eg. engineers and accountants are in desperately short supply). For example, two EDI-SPS Transport participants , a permanent secretary (engineer) and a deputy secretary (a budget specialist) had left their positions shortly after attending the seminar to join the private sector.

The increasingly centralized, cumbersome and lengthy* procedures of the Public Service Commission and Ministry of Local Government often preclude any attempt to attract professionals who are in great demand to sectoral ministries or local governments. Shortage of qualified staff then becomes the rationale for increasing central control .

ZIMBABWE - TRANSPORT

Policy environment specific to transport:

. The Transport Sector Memorandum :Selected Issues document drawn up by the Infrastructure Division of the Africa Region in 1987 stressed a number of points:

1. There had to be a better balance between new investment and maintenance in roads. There was a recognition of the need to provide rural access for agricultural traffic. While the Government of Zimbabwe agreed with the need for maintenance of roads, it was not politically possible to shift \$\$ from construction to maintenance : the existing roads had served mostly the white minority and new roads were/are needed to provide townships with access to agricultural markets. The critical issue was where to get the \$\$.
2. Both the government and the World Bank had agreed that there was a need to improve the financial status of Rail operations , reduce subsidies , introduce a time phased program of manpower and cost reduction . There are initiatives to give NRZ complete autonomy. Only one participant out of a total of two were from National Railways of Zimbabwe. World Bank consultants were in process of assisting NRZ in formulating corporate planning document (a condition of the Bank) at the time and after the participant attended the seminar .

. during the 1989 SPS held in Harare, the political environment was more favorable to policy approaches relative to maintenance of roads introduced in the seminar:

1. it was a pre-election year and roads were a priority
2. the World Bank was negotiating a loan in transportation with investment in maintenance as a conditionality

. Institutional environment affecting implementation of policies in roads :

1. Human resources : engineers in short supply , difficult to attract and retain because of process and salary scales (the P.S.C. was referred to by one participant as the "People for the Suppression of Competency"!)
2. Materials resources: centralized maintenance of equipment at the Central Maintenance and Equipment Group ineffective. 62% of equipment was inoperative in February of this year.
3. Operational Planning and Coordination inadequacy was identified by the Bank report (lack of coordination and ongoing contacts between MOT and DDF, between MOT and users, between MOT and other key ministries).(a more complete review of constraints identified by participants is given below).

ZIMBABWE - URBAN

Policy Environment specific to Urban:

. **A strong local government structure was inherited from Rhodesia. Dependable and efficient urban services were attributable in part to independence and self-sufficiency of town councils. As a result, over 90% of the urban population enjoys satisfactory access to water supply, sanitation, road network and public transport, drainage and solid waste management.**

. The Urban sector Review of 1985 and the Staff appraisal report - Urban, 1989 both identified capacity stress due to an annual population growth of 3% as the critical issue. The Government is concerned over the weakness of future growth prospects and fears that the economy will not be able to provide adequate incomes, employment and basic services, particularly low-income housing, to the increased urban population. The government resists in consider the potential of strengthening the informal sector (seen as dirty, illegal vagrancy despite a 27% unemployment rate).

. The Bank reports identified the need to introduce effective manpower development programs to strengthen institutional capacity (line ministries with urban-related responsibilities and local authorities) in all facets of local authority operations: how to evaluate the technical, financial and economic consequences of all proposed investments, introduction of mechanisms for linking local authority expenditures to financial performance. Bank project supports government initiatives along those lines.

Institutional environment:

. increased responsibility given to local governments but with no corresponding increase in budget or authority. On the contrary, since 1986, shift to increased centralization of decisions in Ministry of Local Government.

. a lot of rotation of elected officials at the local government level (1 year terms). Education level low at that level. Town clerks are the chief executives who manage the cities. More educated, stable and with discipline in financial management.

. local governments have numerous structures for disseminating information: associations of town clerks, of urban councils, of municipal treasurers, etc.

ZIMBABWE- WATER

Policy environment

After Independence, the government promised, as was the case for other infrastructure services, water availability for all.

A relatively good infrastructure in the area. The issue of user fees is difficult for political reasons.

GHANA

POLICY ENVIRONMENT

Ghana was granted independence in March 1957, the first African country to achieve it from the European colonisers. By the early 1980s, Flight Lieutenant Jerry Rawlings's government agreed to adopt strict austerity measures along the lines suggested by the IMF and the World Bank in order to get the economy back on its feet. These included a devaluation of the cedi by 90% in 1983 and the abolition of most price controls (resulting in increased prices particularly in fuel). Priority was given to improving the transport network which had almost fallen apart by the early 1980s.

The general attitude of participants was one of acceptance of Bank policies as being supportive of their own. A 1988 Ghana-Draft Infrastructure Strategy Paper written by T. Pankaj states that "Overall the Government's policies in infrastructure are on the right track, and there are no major policy issues on which the Government's and the Bank's views are in substantial conflict".

Major constraints constantly raised by participants in the course of interviews had to do with the inadequacy of levels of salary in the public service. This was coupled with a general resentment of salaries and standard of living of technical assistants with some clear doubts about their effectiveness.

Other constraints were mostly institutional and financial. See below for details per sector.

GHANA - TRANSPORT

Policy environment specific to Transport

In October 1988, passenger transport costs in Accra consumed about 40% of worker wages. The roads are constantly congested at, at high noon in 35 C temperatures, a five mile trip takes over 1 hour by any transport means. Urban transport is a big problem! In addition, many farm communities have physically lost access to markets due to breakdown of roads, limiting marketing to what head-loading can carry.

The Ghana, Draft Infrastructure Paper, October 1988 by T. Pankaj identifies 2 major factors in this situation:

- a) **Insufficient funding and poor maintenance over 10-15 years**, resulting in physical breakdown of the network. The 1987 Staff Appraisal Report states that the government has increased its road user charges, allocated a large part of its total budget on roads and adopted reforms to improve road maintenance efficiency. Funding is a major constraint: the chronic shortage of foreign exchange has entailed a shortfall of maintenance and renewal expenses for transport infrastructure and equipment which have a particularly high foreign exchange content. The Appraisal Report suggests increased Bank funding as well as food aid for workers as a wage supplement and incentive to increase productivity. Transport is the 3rd most important sector in the Bank Group's lending program in Ghana.

- b) **shortage of skilled managerial personnel due to poor incentives offered by Ghanaian public agencies:**
In all sector agencies, there is a shortage of qualified personnel at the middle and higher levels and a surplus of unskilled staff at the lower levels. Such major agencies as Ghana Highway Authority and Dept. of Feeder Roads are functioning essentially because of a few qualified, underpaid and overworked top officials. The situation is beginning to change with recruitment of young graduates out of engineering schools. Public servants often have to work two jobs to make ends meet, many have resigned to take up work in private or para-statal sectors or abroad (a large brain drain of ghanaians to Europe and America).
- c) **weak institutions and poor management :**
The staffing issue outlined above is partially responsible for the insufficient number of staff available for the basic work of data collection and analysis, project evaluation, and review of policy issues required for sound decision making. The Ministry of Finance and Economic Planning gives the distinct impression of being totally absorbed by crisis management and overload due to centralization of decision-making, thus neglecting the systematic review of sector policy issues .
Bank operations also active in Railways and Ports but only one participant from Port and none from railways.

Issues specific to road networks:

- . finding funds for heavy load of rehabilitation of which only about 30-40% can reasonably be raised from Ghana
- . instituting a financing mechanism (such as a road maintenance fund financed from road user charges) which is not dependent on the uncertainty of the budgetary process and which can ensure reliable and regular flows of maintenance funds . The Ministry of Fuel and Power now has control of a road fund (95% of which comes from the petrol levy). The issue of regular and adequate release of funds was one of the main issues the Ministry of Transport wanted to deal with in the 1989 SPS in Ghana.

Institutional considerations:

- . Ghana has established a road fund 95% of which comes from the petrol levy and is managed by the Ministry of Fuel and Power
- . The Private Transport Operators Union is a strong pressure group which must be brought into policy discussions as 95% of the work is done through competitive tender to private contractors.

GHANA - URBAN

Policy Issues specific to Urban:

Almost all urban infrastructure - roads, drainage, water supply, sanitation and waste disposal and power supply are in a poor state of repair.

District administrations are generally responsible for managing local services, except water and power which are managed by national parastatals. The highly centralized system of government is beginning to be decentralized with some discussion about devolution of authority to local levels.

Local governments are embryonic in many areas. They are in charge of urban administration, are organizationally weak and poorly managed and lack autonomy. There is a great need for better coordination and more training of local officials.

The cities receive less Government subsidies than before and are rightly forced to increase self-financing, but the necessary taxation and collection systems are not in place. The revenue collection administration needs to be improved as does the liaison between valuation offices and revenue collection .

Urban transport is inadequate, inefficient, unsafe, high cost and rather chaotic, with high levels of congestion and delays during peak hours.

Rehabilitation of infrastructure has begun under the World Bank supported Accra District Rehabilitation Project. Other donors are financing improvements in some towns and cities. This concentration on Accra was reflected in selection of participants to EDI activities (all from central government and Accra Municipal authority). One of the major issues to deal with in Accra is the raising of additional revenue.

GHANA - WATER

Policy environment:

Only about one-third of rural population has access to safe water supply and one sixth has sanitation coverage. Poor organizational and institutional backup. The Bank's involvement has been mainly in urban areas. Many bilateral agencies are active in RWS but coordination is inadequate.

SENEGAL AND THE IVORY COAST

Policy environment

While there is wide diversity of political structures and options that governments have chosen to take in anglophone Africa (despite British influence), these two francophone countries share many similarities:

1. they both became "independent" in 1960;
2. the influence and presence of french institutional frameworks and culture dominate almost every sphere of life:
 - . municipalities are modelled after the french communal system
 - . government approaches are very legalistic (they inherited the worst of French bureaucracy): the legal system permeates and dominates all spheres where government intervenes
 - . government officials in policy making positions have been educated in the french system: they are very articulate, know french culture and literature very well and enjoy lengthy political discussion .

In Senegal, the ruling party is very much present but there is constant political debate and a tradition of political democracy (there are 32 opposition newspapers!) . Senegal's roads are in fairly good condition and maintenance is not as severe an issue as in Ghana for example. The sector that is the greatest preoccupation is the urban sector.

31 "communes" (local governments) are operating in Senegal , of which the 9 regional capitals except Dakar are communes with a special status administered by an "Administrateur Municipal" appointed by the Central Government instead of an elected mayor, and the remainder are "communes de plein exercice" with elected mayors and councils.

The Government has officially adopted a municipal development policy aiming at strengthening the local government's technical and financial capability to take over the urban services and to become effective actors in the economic development. However, the reforms involved in a better delineation of local responsibilities and in decentralization of revenue administration are not expected to be implemented in the short term by the Government. There are constraints to effective decentralization: a lack of efficient registration of tax liabilities hinders revenue increase and improvement and strengthening of local government's administrative abilities would be a pre-requisite to successful decentralization. The majority of higher level managers lack experience in the management of municipal services. The current World Bank Municipal and Housing Development Project focuses on Dakar as a pilot undertaking which is expected to provide experience applicable to other regional capitals.

Ivory Coast , until very recently, lived and breathed in the image of Felix Houphouët-Boigny, a doctor and wealthy planter who has been the president since independence . The Ivory Coast remained one of Africa's most politically stable countries during the '70s but has been on a political and economic roller coaster since the '80s . There have been debt and corruption scandals, followed by some improvement of the economy due to good yields from cocoa and coffee exports in 1984-85 , followed by more debt and corruption, a salary freeze and rising unemployment, leading to the current crisis of confidence.

"After two decades of sizeable investments in transportation facilities, Côte d'Ivoire possesses an extensive and well-developed transport system, indeed, one of the best in Sub-Saharan Africa. ... Other sectors, such as railways have suffered... While marked improvements are possible in all sub-sectors, road , ports and shipping and civil aviation function fairly adequately". (See Côte D'Ivoire Transport Sector Memorandum , 1986) . Transportation is not a priority policy sector, given other priorities (structural adjustment and urban development.)

Similarly, the infrastructure in the water sector is good. Key issues of concern now are improving the capacity for making efficient investments, and policy issues in the areas of sanitation and environmental policy .

As in Senegal, urbanization is a key area of concern in the Ivory Coast. With an average population growth rate of 4% during the 1965-85 period, involving a continuous flow of migrants from adjoining Sahelian countries, Côte d'Ivoire experienced the most noteworthy growth rate of all 47 countries in SSA. In 1987, 45% of the population lived in cities. The major portion of population growth was absorbed both by Abidjan (whose growth rate has declined sharply) and by a growing network of secondary cities who play an important role in the development of the country through strengthening of linkages with the development of the agricultural sector.

The ongoing process of decentralization is supported by the World Bank Municipal Development Project (institutional strengthening with a strong training component, technical assistance , setting up of a technical team in the Direction des collectivités Locales to assist and advise municipalities in managing, resource mobilization component , etc) . USAID cooperates in the project as well.

The decision to rapidly shift development responsibilities from central government to locally elected bodies stems from the government's desire to stimulate local development with a view of achieving a more balanced distribution of population and economic activity throughout the urban network.

However, due to political pressures, the number of municipalities quadrupled without adequate preparation and without prior assessment of administrative, technical and financial absorptive capacities of local governments to face their new responsibilities. There is a lot of training activity in the areas , with RHUDO and USAID as well as the BIT to deal with this aspect.

Political constraints are anticipated : "Conflicts are likely in implementation as local authorities seek to assert their autonomy and the central Government its control over the relatively young and inexperienced elected bodies" (see Staff Appraisal Report, Municipal Development Project, 1989). Conflicts between central government agencies (responsible for financial , fiscal and technical aspects of local government activities) and the Direction des Collectivités Locales are also likely, given the weakness of the latter, and the dominant control of those central agencies in the above stated areas.

ANNEX VII

INTERVIEW DISTRIBUTION in SELECTED COUNTRIES

Impact of Activities on Policy

Percentage of Sample Interviewed in
Selected Countries

SUB SECTOR	COUNTRY	ACTIVITIES			TOT	TOTAL	
		SPS	Sample Interviewed	Sample Interviewed		Sample Interviewed	% of Sample Interviewed
Transport	Côte d'Ivoire	3	1	3	2	6	3
	Ghana	21	17	6	5	28	23
	Senegal	4	2	3	--	7	2
	Zimbabwe	9	7	4	4	13	11
	TOTAL	37	27	16	11	54	39
					0		71.7%
Urban	Côte d'Ivoire	4	2	8	3	23	12
	Ghana	3	1	2	2	7	4
	Senegal	5	5	7	4	21	15
	Zimbabwe	5	4	--	--	11	8
	TOTAL	17	12	17	9	62	39
					28		52.2
Water	Côte d'Ivoire			2	1	2	1
	Ghana			1	1	1	1
	Senegal			5	4	5	4
	Zimbabwe			5	2	5	2
	TOTAL	0		13	8	13	8
					0		50.0
TOTAL INFRASTRUCTURE	TOTAL	54	39	46	28	129	86
					18		66.4%

Impact on Institution Building

Interviews with Collaborating Institutions

<u>Country</u>	<u>Transport</u>	<u>Urban</u>	<u>Water</u>
Côte d'Ivoire	AfDB/TC: <ul style="list-style-type: none">- director- 3 staff (group interview)	CRAU: <ul style="list-style-type: none">- former director- researcher (individual interviews) ENA: <ul style="list-style-type: none">- director	
Nairobi/Kenya		UNCHS: <ul style="list-style-type: none">- Training Unit Chief	
Senegal		EAU: <ul style="list-style-type: none">- director- 2 teaching staff (group interview)	UADE: <ul style="list-style-type: none">- director
Tanzania		ESAMI: <ul style="list-style-type: none">- director- 6 staff of Transport Centre (individual and group interviews)- librarian- research assistant- review of training materials, needs assessment and evaluation tools	
Zimbabwe	(1 Zimbabwean who participated in ESAMI course)		University of Zimbabwe Dept. of Civil Engineering <ul style="list-style-type: none">- acting chairman- director of Training Centre for water and sanitation (group interview)- former teacher/collaborator on seminar

ANNEX VIII

DETAILED POLICY ACTIONS and IMPACT RESPONSES

FINDING
POLICY DEVELOPMENT
TRANSPORT

FRANCOPHONE AFRICA

TRANSPORT

SÉNÉGAL

COMPOSITION

2 interviewed:
SPS RRT (both had
changed positions since
1985)
1 minister - now in
C o m m u n i t y
Communications
1 engineer - 2 moves in
and out of ministry
Nothing since 1987:
Total sample
4 SPS (RRT) 1985
3 ESM Côte 1987
High attrition: 58%
- 3/7 still in their
position:
1 promoted
1 minister transferred
2 have "disappeared"

COTE D'IVOIRE

1 SPS (out of 3)
RRT
- 1 dead
- 1 minister gone
2 ESM (out of 3)
1987, Abidjan. All
from Ports

P O L I C Y ENVIRONMENT

- relatively good
infrastructure network
- priority already to
road maintenance (since
1985). Strategy and
structure in place,
regular inspection and
performance indices
- had already initiated
contract - plan
- reinforcement of what
they had agreed to and
implemented

- relatively good
roads
- no participants from
Roads

ANGLOPHONE AFRICA

TRANSPORT

GHANA

COMPOSITION

SPS= 1 - U.S.A. Round Table
2 Rt.
15 Regional Policy Seminar on Road Maintenance, Ghana
ESM= 5, 1986 Nigeria
4, 1987 Abidjan, Transport Policy
attrition:
1 minister - now hand and Natural resources
1 Director Planning-MTC - under house arrest
- majority road maintenance/emphasis
- one urban Transport
- one: ports

P O L I C Y ENVIRONMENT

- terrible state of road maintenance
- govt. already allocating large amount of funds to transportation but backlog - need foreign currency
- Govt. has formed a National Planning Commission to coordinate all sectors but still in formative stages.
- Finance and economic planning Minister overloaded and don't communicate much with M.R.H.
- Dynamic minister of R&H
- W.B. Presence important. Positions of govt. on track with W.B.: no major disagreements
- staffing and salary problems enormous.

ZIMBABWE

SPS= 7 (2 RRT in 1986
5 Zim in 1989)

ESM= 4 Transport Policy Analysis '88
1 p.a Esania R a i l w a y management, Tanzania
Total sample 13-

46.2% mobility:
2 seniors gone to private sector
2 promoted in ministry
1 transferred parastatal

newly independent county must continue to invest in construction
- good infrastructure starting to show cracks
- W.B. in middle of 2nd highway project in 1988 and Urban project
- no coordinated planning between MOT and Finance
- lack of engineers in public service - drain to private or leave the County
- take distance from W.B. up to a few years ago but now tide is shifting.

TRANSPORT

GHANA

ACTIONS

SPS

- In MRH agreed to form a Committee for the road sector
- brought together 3 agencies under MRH to refine action plan drawn up at seminar
- next step: bring to GPRT (union of private contractor)
- Ministry of Fuel and Power (road fund)
- Finance

- minister contacted Italy's aid division in Rome to discuss funding of rehabilitation which the W.B. was not prepared to fund

IMPACTS

- integrated planning within MRH

- got 40 million from Italian aid.

FACILITATING FACTORS

- W.B. conditionalities + govt. agrees with policies

- dynamic, determined minister presence of donor in SPS

CONSTRAINTS

- Political support from Finance not clear
- weak institution in MRH: "If get \$ but weak structure, no point" - low salaries
- GPRT were not involved in SPS
- war was Min. & Power (Key actor in road fund)
- Finance was to be involved but caught up in crisis management

TRANSPORT

GHANA

ACTIONS

SPS 2

- 4 SPS participants call director of budget regularly

ESM

- Skills in planning from ESM Nigeria applied in 4 highway projects

IMPACTS

- understand constraint more
- personal contacts important in Ghana- helps solve problems on ongoing basis + influence decision in long terms

- strengthened planning function

CONSTRAINTS

- no time to follow up payment still made irregularly despite some improvement
- not institutionalized still at level of personalities not restrainable

- Consultant for W.B. helped when he returned . \$ financed by W.B.

TRANSPORT

GHANA (CON'T)

ACTIONS

SPS

URBAN ROADS SPS

- nothing because seminar did not deal with urban roads.
- urban transport key problem in Ghana (Accra)
- issues of fuel consumption, congestion, economic analysis for urban forcestry and traffic request not addressed
- EDIS structure a constraint
- ex Urban or Transport must include MRH + Local Govt.

TRANSPORT

ZIMBABWE

ACTIONS

SPS-1- 1989

- finance rep. returned and recommended increases in road maintenances budget (EDI instrumental not seminal)

IMPACTS

- increase in road maintenance budget from 32 to 60 million for near finance
- parallel increase in construction from 64 to 90 million (had seen a drop from '82: \$800 km per maintenance. '87 - \$400 per km.

SPS-2

- manager who participated in "institution building sub-group" set up in transport unit in his dept. Worked out of rep. for technical assistance to convinced P.S.C. to create local position.
- capacity impact within Physical Planning to plan urban transport
- just set up-will take time to see impact
- dynamic participant in position to make decision

FACILITATING FACTORS

- change in senior mgmt. provincial Road engineers were brought into dept. of state roads in 1988
- support at top-political level
- seminar reinforced idea that was there
- election year
- critical mass in MOT ZESM 1988, 3 SPS 1989 + (minister + deputy secretary)

CONSTRAINTS

- institutional:
- Central Maintenance of equipment
62% of equipment inoperative
- would require breakdown in small co. indistricts to repair and need for training
- chronic shortage of engineers (salary) + PSC rules (Public Service Commission)
- no credits allocated to spend\$
- no coordinated planning mechanism

TRANSPORT

ZIMBABWE (CON'T)

ACTIONS

SPS-3

- planner wrote paper to recc. PAP. Suggested need to improve coordination
- relatively junior guy
- no influence. Paper got lost up in the bureaucracy

ESM-1

- Undertook to formulate a corporate plan for NRZ (National Railways of Zimbabwe)
- implementation of corporate plan - no measure of effectiveness as a result

FACILITATING FACTOR

- W.B. financed consultant to support

CONSTRAINT

- Finance was not present in seminary

TRANSPORT

COTE D'IVOIRE

ACTIONS

1 SPS used W.B. documents of seminar to support his position of more autonomy for ports - (RRT Italy)

- macroeconomic approach, no specific recommendations for ports

2 ESM prepared reports and circulated to director

- 1 unknown
- 1-report was used against him-he was demoted
- the individual raised their own institutional constraints: supervisor did not appreciate
- 1 modified recruitment process when he was shifted to operation: applied multiple interviews, based on profile
- replaced recruitment by "relations" to a certain extent support from the director

FINDINGS
POLICY DEVELOPMENT
URBAN

URBAN

FRANCOPHONE AFRICA

SENEGAL

COMPOSITION

SPS= 5 (out of 5) 1989
- all still active in key positions in central local govt.

ESM= 4 (1 Montreal 1985, 3 Côte 1987) (out of 7)
57% turnover
• 2 technocrats sent to local govt. outside Dakar
• 1 change of ministry
• 1 ex-Urban projects director "on ice"
• 1 ex-ESM 1985 - SPS in 1989 (boss to 1985 ESM)=good support

TOT= • 2 part-time trainers still give courses
• 1 Institute and 1 Training Centre Director still struggle but enthusiastic
• 1 dead
• 1 admin.
- no longer involved
71.5% B.F of all interviews in urban
62.5% of total sample in urban
- Central govt: 4 (superiors/and subordinates)
- Local govt: 5 (local govt-at the time from Dakar, now spread out)
- Institutes: 3 training Institutes

COTE D'IVOIRE

SPS= 2 (out of 4),
Bologna 1989
• 1 directeur des Collectivités Locales
• 1 maire

ESM= 3 (out of 8),
4 Abidjan 1987
• 1 secrétaire général de mairie
• 1 sous-directeur Collectivités Locales
• 1 receveur municipal

TOT= 7 (out of 11), 4 Abidjan 1987
3 Dakar 1988.
(2 had left their positions. Most others could not be interviewed because:
- unavailable (offices closed due to political climate)
- Local govts too far away
12 out of 23 interviewed:
- No ministers
- Fairly stable: little turnover since 1987 except for TOT
- trainers who went to Dakar not retained in W.B. municipal development project. Others in flux.

FRANCOPHONE AFRICA

URBAN

SENEGAL

POLICY ENVIRONMENT

- "Commune System
- presidential support for decentralization
- still strong control "tutelle" from central government with one mayor and permanent secretaries appointed to local governments.
- Dakar seen as pilot to emulate: although many feel experience not applicable elsewhere.

COTE D'IVOIRE

- ° Communal system in place since 1978
- ° political/economic incentives to decentralize
- ° tension between central and local govts and some resistance from central agencies
- ° great need to develop skills at local Community level: training initiatives through BIT, USAID, WB, UNDP but some absence of coordination
- ° lots of institutions - no coordination
- ° need for forum for dialogue at the political levels with Mayors/elected officials.
- ° local Tax collection difficult: - informal sector strong, hard to get to - Tax evasion at upper levels of the government.

ANGLOPHONE AFRICA

POSITION

GHANA

SPS= 1 (out of 3) Bologna:
1 advisor
mayor and Secretary of
local govts. not
available

ESM= 2 (out of 2), Kenya
1989

1 TOT= Kenya 1988

None from local govts.
outside Accra

ZIMBABWE

SPS= 5 (out of 6) Bologna

TOT= 3 (2 Kenya 1988
1 Kenya 1989)

Attrition but still all
active - Retired but
active in EDI/IDRC/multi-
donor Municipal
development program

- 1 permanent
secretary now in
transport but active
in same project
- 2 mayors whose terms
are up but:
- 1 councillor
- 1 president of urban
councils.

POLICY ENVIRONMENT

Low level of development of
local govt structure.
Highly centralized.

- debate centred around
corruption and human
resources capability
- power struggles
(Finance and Ministry
of local govts.) Strong
tribal undertones.

- strong local govt
structure inherited
from Brits.
- uneducated mayors
rotate every year
- educated, bright
town clerks act as
chief executives
- tendency of central
govt. to
recentralize power:
- 1986, Urban council
Law amended to give
central govt lots of
power
- political
interference of
ministers at local
level
- good number of fora
for local govt. to
organize

COTE D'IVOIRE/URBAN

SPS

ESM

ACTIONS

- one mayor used W.B. positions to argue for more autonomy and creation of a credit organ. (in a conference of mayors)

1)

- 1 general secretary implemented his action-plan:
- took survey of commercial enterprises in markets and issued permits
- did pilot of tax collection: plotted increase in revenue and projections of income for the 7 markets in pilot, projected increase in revenue from 84, 542, 400 to 201, 600, 000 CRA

IMPACTS

- gave credibility to his arguments
- dialogue reported by mayor and central govt. official to help bring opposite positions closer together

- negative impact:
reprimanded by mayor who bowed under pressure of interest groups and killed the projects
frustrated individual

FACILITATING FACTORS

- o govt. committed to decentralisation (eco. desirable)
- o W.B. present - major project

- o dynamic individual (secrétaire général)
- o practical skills in financial analysis and planning taught in course

CONSTRAINTS

- long term process
- o push-pull political interests
- o question of capacity building at local govt. level

- o political level (mayor) not supportive
- bow under pressure
- o informal sector hard to pin down
- Mayors do not see their role in development process and do not take responsibility when faced with pressure.

COTE D'IVOIRE/URBAN

ESM (con't)

ACTIONS

4)

- 1 receveur uses skills in financial analysis: uses ratios and graphs to analyse income and expenditure tendencies and advise mayors on a monthly basis

IMPACT

- unable to establish

SENEGAL/URBAN

SPS

ACTIONS	1)		2)	
	-	One SPS (Dakar) participant used info. from seminar (comparison with other countries + great tendencies in the world) in National assembly to push for more autonomy for local govt.	-	One SPS convinced of financial analysis approach, sent 2 of his staff to ESM.
IMPACTS	-	dialogue in SPS got parties closer together by exposure of ideas (Confirmed by mayors and central govt)	-	Started to institutionalize notion of cost/efficiency of services in Ministry of Interior
	-	President of working group of mayors proposing options for decentralization	-	SPS had attended 2 ESM courses himself
FACILITATING FACTORS	-	has ear of constituent interests (credibility at both central and local govt.)	-	committed to change
	-	dynamic / strong personality	-	In position of Decision making. Critical mass.
CONSTRAINTS	-	Central govt. appointed officers (perm.res.) still believe tutelle is necessary:		
	-	low level of competency in local govts.		
	-	some mayors still like village chiefs corrupt and useless		
	-	reform still theoretical wait to see how Dakar will develop.		

SENEGAL/URBAN

SPS (con't)

ACTIONS	3) - recommended to ENA that they develop more practical approach to financial analysis	4) -ongoing personal and direct contacts between Dakar municipal govt. and Dir. des Collectivités locales. Parallel formal process.
IMPACTS	Unable to assess	-accelerates decision-making by passing lengthy bureaucratic process. Now 4 levels of approval)
FACILITATING FACTORS		-Two dynamic individuals
CONSTRAINTS		-not institutionalized: when one or the other leaves, gone.

SENEGAL/URBAN
ESM

ACTIONS	<p>1)</p> <ul style="list-style-type: none"> - County team ESM 1987 got together to proceed with action plan: municipal Tax collection system of informal sector in Dakar 	<p>2)</p> <p>One secrétaire général, after transferred out of Dakar, tried to replicate could not.</p>
IMPACTS	<ul style="list-style-type: none"> - not known as far as results (in any case would not entirely be attributable to EDI) - did get county team impetus to act - + reinforced <u>contacts</u> with USAID: computerization of data collection in DCC. Tot + equipment financial study Tour for one ESM and his boss (SPS) 	
FACILITATING FACTORS	<p>Dynamic leadership at mayor level (political support)</p> <p>\$ and concrete on-the-ground support from USAID: computerization of data collection and analysis</p> <p>One key SPS still there</p>	
CONSTRAINTS	<ul style="list-style-type: none"> - Key person resp. for implementation (municipal Tax collector) was sent to Thiès and others also move. <u>Mobility</u> of key individuals. 	<p>no political support out of Dakar (Mayor)</p> <p>low level of education + competency in local government</p>

GHANA/URBAN

	SPS	ESM
<u>ACTIONS</u>	<ul style="list-style-type: none"> - Ongoing attempts at developing a viable model of Local govt. 	<ul style="list-style-type: none"> - applied new ways of budgeting: Went from national-oriented budgeting format to program/projects oriented - used to intimize (eg. waste mgmt), now prioritize projects into programs (eg. health services) - formed task force to monitor revenue collection of untapped resources - registered hotels and other businesses and collected taxes.
<u>IMPACTS</u>	<ul style="list-style-type: none"> - <u>no move in dialogue.</u> Did not address real policy problems and issues in country 	<ul style="list-style-type: none"> - improved budgeting - increased revenue last month (Jan'90) by 50% vs Jan'89 from that source alone: used to be a lean period
<u>FACILITATING FACTORS</u>		<p>W.B. project in Accra (Urban II) Fisher follow up to make suggestions and link to pre-appraisal seminar for Urban II support from mayor</p>
<u>CONSTRAINTS</u>	<p>although official policy accepts decentralization, Min. of Finance and Eco. Plan. still have <u>strong central control</u>: advocate more local autonomy would increase corruption (issue is power struggle) and weak capacity at local government level.</p>	<ul style="list-style-type: none"> - no continuity of service in local govts. - c h a n g e in leaderships every 3 yrs - Staff seconded for 3 yr periods (PSC appointed)

ZIMBABWE/URBAN

SPS & ESM

ACTIONS	1)		2)
	-	presentations by participants to fora of mayors, on findings of seminar ex. - presentation by town clerk on summary of Bologna - presentation by city Treasurer on planning and finance, and on housing following Kenya ESM.	<u>Contacts with donors:</u> - 3 participants in Kenya - Bologna met Patricia McCarney (IDRC). Worked together at formulating proposal to be integrated to multi-donor funded project.
IMPACTS	-	bring in W.B. policies in interest pressure groups who are looking for change	- funding of \$700.000 from IDRC to establish a local Govt. network (incl. South Africa)
	-	contributes to articulating their positions and advancing debate on alternatives for decentralization	- series of research proposals presented to forum of treasurers - training component in progress
FACILITATING FACTORS		strong personalities in key positions of influence in fora (lots of associations for local govts)	- committed, energetic individuals
			- one in key position of influence - <u>contacts made in EDI seminars</u>
CONSTRAINTS		govt. tendency to recentralize not an issue of structure (in place and solid)	

INSTITUTION BUILDING

ZIMBABWE/TOT

ACTIONS	- ZIPAM will hold a course on (April 23-27) Urban Finance and management using some EDI material (TOT 1988)	- exposure to theoretical base of WB stimulated resistance and creativity in finding ways to develop self-help housing schemes in Zimbabwe in progress.
IMPACTS	- <u>multiplier effects</u> replicate modified version - number of trainees unknown	
FACILITATING FACTORS	- support, encouragment from team (incl. Ex-Sec. of Min. of local govt.)	
CONSTRAINTS	<u>Institutional</u> - ZIPAM part of PSC. no autonomy yet - PSC process for recruitment 6 months and low salaries - difficult to attract highest qualified individuals.	

TOT COTE D'IVOIRE

SÉNÉGAL

ACTIONS

- full-time trainers - nothing
- part-time (technocrats who teach at ENA or in govt): introduce ideas of financial management in their courses

1 bureaucrat: Senegal
uses some materials in his courses: financial analysis (has modified - uses graphs to plot evolution of Tax income one time), tax collection systems in diff. countries (at ENA & CFPA)
°contacts for Director of Municipal Training Centre

IMPACTS

-Unknown

°For technocrat: new methods used in his work.
°led to donation from French Cooperation who gave 1,500,000 CFA of books to the Training Centre

FACILITATING FACTORS

°supportive boss (EX-SPS, ex-ESM)
°good leadership from mayor
°bright, dynamic director

CONSTRAINTS

- °no computers
- °full-time trainers not retained in major W.B/ BIT municipal project
- USAID and other donors have massive presence and impacts in the area (favored those they trained)
- trainers on hold, uncertain about their future
- °no donor coordination in the area
- °host of local institutions
- no coordination
- °not really TOT - aimed at decision - makers at local level

- °no computers
- °methods taught in course not applicable. No equipment
- °data from participants incomplete
- women (isolated), little power
- no budget
- no support from Boss

NETWORK

There is no network. There will need to be strong H.R.D. capacity when political system stabilizes (eg. in Côte d'Ivoire)

There Is a need to institutionalize links with various organisations:

- ° EDI could support/facilitate creation a coordinating centre to provide impetus to the network, with others inputting, and manage it.
- ° Should not be led by a Training Institute because of history of links and conflicts Requires a secretariat
- ° EDI would provide institutional credibility and activity to back it up
- ° A network is needed: EDI could bring together competencies or resources persons

EDI Could also have credibility in discussing needs with governments. be a "broker" in possible exchanges

- ° Creation of regional centres premature:

need a flexible but coordinated structure - substitute for regional Institute.

FINDINGS
POLICY DEVELOPMENT
WATER

FRANCOPHONE AFRICA

WATER

SENEGAL

COTE D'IVOIRE

COMPOSITION

4 ESM interviewed:
1 1987 Burkina
2 1988 Senegal
(engineers, projects,
managers)
1 1988 Maroc (director
recommends tariffs)

2 ESM - Total sample
1 director Min. of Pub.
Works
General manager SODECI
(unavailable due to
political crisis)
-attended 1988 ESM,
Morocco Urban water
tariff policy
invited by UADE

ACTIONS - IMPACTS

ESM
one engineer was stimulated
to develop a reservoir
system for villages of 1000
people or less (found
technical info. on latrine
systems useful)

None - déjà vu:
see tariff setting as
national issue. Depends
on institutional
structure: who manages
and absorbs costs (state
or parastatals).
see technical content as
inappropriate: based on
foreign criteria, their
realities not ours -
question of appropriate
technology)

SUGGESTIONS/ RECOMMANDATIONS

Director: at his level,
more of a conference with
lots of time to discuss
' don't mix politicians
and technocrats but get
politicians to pave the
way
- Follow-up in country
- Engineers: would like
more on project
management and
evaluation of projects
- FU to check application
and summary of
experience

'would like training on
of analysis to determine
appropriate investments
'projects mgmt (engineers
with no mgmt.
background)
'integrated mgmt of water
resources: food,
energy, agriculture
systems. Policy levels
are decided: need
put in place (eg.
project with UNDP) and
evaluate

ANGLOPHONE AFRICA

WATER (CON'T)

GHANA

ZIMBABWE

COMPOSITION

- 1 ESM Zim.
- Lectures at Kumasi of science and tech.
- Teaches part of course on, water. rural water and sanitation (25 students per year, graduating year course)

Sample 5 ESM
3 interviewed:
1 planning coordinator
1 provincial health administrator
1 research officer administrator
(1 on annual leave, 1 not located)

ACTIONS - IMPACTS

- as modified that part of the course to get students to go out and study social background and organization of communities as a basis to determine approach

one provincial administrator developed their own materials for project planning, inspired from EFIGRE but adapted)
ongoing input in discussions on user fees for pump repair

SUGGESTIONS/ RECOMMENDATIONS

- would like that EDI encourage comprehensive county reports prior to attendance (provide guidelines if necessary): collect, bind and distribute
- more African resources
- more field visits to see achievements.

Planner: do not use C E F I G R E but University of Zimbabwe
- focus training more (on Rural, and on policy not technical managers want more policy less technical detail, engineers want more technical
- constraints - government promised free water to all at independence.

ANNEX IX
SURVEY QUESTIONNAIRE AND RESPONSES
ESM PARTICIPANTS IN TRANSPORT

Survey of Course Participants

INSTRUCTIONS: Please circle the letter beside the answer you judge most accurate. Circle N/A if the question does not apply.

Your Country:

a) Transportation Planning and Management, Nigeria 1985-86	2
b) Transport Policy Seminar, Côte D'Ivoire, 1987	8
c) Transport Policy Analysis Seminar, Côte d'Ivoire, 1988	5

a) Government	14
b) Enterprise	1
c) Education/Training Institute	

Not at all	1	2	3	4	5	6	To a great extent	N/A
2	1	4	3			1		2

4. To what extent did the following aspects or components contribute to the value of the course?

I. The actual course content

Not at all	1	2	3	4	5	6	To a great extent	N/A
			1	4	4	5		

II. Having participants from different countries

Not at all	1	2	3	4	5	6	To a great extent	N/A
	1		2		6	4		

III. Having more than one participant from your country

Not at all	1	2	3	4	5	6	To a great extent	N/A
			1	4	3	3	1	3

IV. Presence of EDI and World Bank staff

Not at all	1	2	3	4	5	6	To a great extent	N/A
			1	1	3	9		

v. Presence of other experts and resource persons

Not at all	1	2	3	4	5	6	To a great extent	N/A
					5	10		

vi. Case studies/content presented by African specialists

Not at all	1	2	3	4	5	6	To a great extent	N/A
				2	6	6		

vii. Preparation of action plans

Not at all	1	2	3	4	5	6	To a great extent	N/A
				5	3	4		2

5. How have you shared what you have learned from attending the course?

I. Participated in a debriefing with your superiors

Not at all	1	2	3	4	5	6	To a great extent	N/A
			1	3	2	9		

II. You have distributed EDI course materials

Not at all	1	2	3	4	5	6	To a great extent	N/A
	1		2		2	1	7	2

III. You have given courses/workshops

Not at all	1	2	3	4	5	6	To a great extent	N/A
	3		2	1	1	1	2	5

IV. Through formal and informal discussions with colleagues

Not at all	1	2	3	4	5	6	To a great extent	N/A
				2	5	7		1

APPLICATION TO YOUR WORK

In this section, we would appreciate your views on the extent to which you have been able to act on policy and management approaches that were presented in the course. As these approaches are different from one course to the next, please complete only the section which applies to the seminar you attended.

NOTE: If you attended a seminar in Côte d'Ivoire, skip to Page 4, Part B.

B. IF YOU ATTENDED A SEMINAR IN COTE D'IVOIRE IN THE HIGHWAY STREAM,

Response n=7

To what extent were you able to apply the following when you returned to work:

NOTE: If you attended a seminar in Côte d'Ivoire in the Parastatal stream, skip to Page 5, Part C of this question.

I. Allocate a higher priority to maintenance under the road expenditure budget

Not at all	1	2	3	4	5	6	To a great extent
			1		3	3	

II. Achieve a higher allocation of funds to road maintenance

Not at all	1	2	3	4	5	6	To a great extent
		1	1	1	2	2	

iii. Reallocate funds from new construction to maintenance

Not at all	1	2	3	4	5	6	To a great extent	N/A
		1	2	1		1		2

iv. Improve the timeliness of release of budgeted maintenance funds

Not at all	1	2	3	4	5	6	To a great extent	N/A
		2	1	1	1		1	1

v. Introduce a pavement management system

Not at all	1	2	3	4	5	6	To a great extent
		1	1		1	2	2

vi. Introduce a systematic unified approach to planning, programming, and budgeting for road expenditures

Not at all	1	2	3	4	5	6	To a great extent
		1		1	2	3	

vii. Concentrate maintenance on the essential priority network

Not at all	1	2	3	4	5	6	To a great extent
		1			1	5	

viii. Introduce use of HDM/EBM models (or similar) to highway investment and maintenance planning

Not at all	1	2	3	4	5	6	To a great extent	N/A
		2		1		2		2

ix. Foster Improvement and use of the local contracting Industry

Not at all	1	2	3	4	5	6	To a great extent
		1		1	1	3	1

x. Introduce an Improved and effective system of personnel planning and management

Not at all	1	2	3	4	5	6	To a great extent	N/A
		2		1	2			2

xi. Introduce an effective equipment management system

Not at all	1	2	3	4	5	6	To a great extent	N/A
			1	1	2			3

GO TO QUESTION 7

C. IF YOU ATTENDED A SEMINAR IN COTE D'IVOIRE IN THE PARASTATAL STREAM,

Responses n= 4

To what extent were you able to apply the following when you returned to work:

i. Prepare a corporate plan

Not at all	1	2	3	4	5	6	To a great extent
	1				1		

ii. Formulate a transport policy improving intermodal transport coordination

Not at all	1	2	3	4	5	6	To a great extent
					2	2	

iii. Formulate and introduce a contract-plan approach

Not at all	1	2	3	4	5	6	To a great extent
	1				1		

iv. Achieve increased levels of autonomy in setting tariffs

Not at all	1	2	3	4	5	6	To a great extent	N/A
	3							3

v. Introduce an effective Management Information System

Not at all	1	2	3	4	5	6	To a great extent	N/A
	1			1				2

vi. Introduce improved effective systems of personnel planning and management: career development, reward and incentive systems, training.

Not at all	1	2	3	4	5	6	To a great extent	N/A
	1			1				1

vii. Achieve a higher level of efficiency and productivity

Not at all	1	2	3	4	5	6	To a great extent
	1				2		

7. Please give specific examples of how you have used information, techniques or skills you learned during the course in your job.

Several made presentations, one involved in donor funded project on the role of parastatals, 1 participated in setting up a road fund in Rwanda, seven reported having applied financial analysis techniques.

8. To what extent have you encountered each of the following obstacles in trying to implement a new policy, management approach or action plan?

i. Policy or management approach not applicable to your country's circumstances

Not at all	1	2	3	4	5	6	To a great extent	N/A
			3	1				3

ii. Lack of time, workload too heavy

Not at all	1	2	3	4	5	6	To a great extent	N/A
			4		1	3		1

iii. Lack of political support for policy options

Not at all	1	2	3	4	5	6	To a great extent	N/A
	1				4	2		

iv. Lack of funding to implement								
Not at all	1	2	3	4	5	6	To a great extent	N/A
	1		1	2	3	3		
v. Lack of necessary skills in the agency to implement								
Not at all	1	2	3	4	5	6	To a great extent	N/A
				2	2	1		
vi. You changed your job								
Not at all	1	2	3	4	5	6	To a great extent	N/A
	2					1		5
vii. Resistance from other agencies whose support was necessary								
Not at all	1	2	3	4	5	6	To a great extent	N/A
	1	1		1	2	2		2
viii. You would have needed more follow-up support from EDI/World Bank to be able to tailor approaches to your country's circumstances								
Not at all	1	2	3	4	5	6	To a great extent	N/A
	1	1			4	3		

9. How could EDI increase its impact on policy development in the transport sector? Please write down your comments and suggestions. Please feel free to write more on the back of the questionnaire.

- . organize follow-up seminars (7)
- . keep participants informed through brochures and pamphlets on current developments in the sector:
 - . send out follow-up questionnaires on a regular basis to find out what has been applied and update other participants on trials and success stories
- . fund scholarships for candidates from the poorest countries to attend ESAMI (suggestion from Lesotho)
- . Participant from Gambia: hold in-country seminar bringing in all actors involved in policy decisions (fund from on-going World Bank programs in country)
- . Bring together all parties (include politicians and Finance). Must have a critical mass of all interested parties. Get to the political level (SPS Niger).
- . Constraints to implementation:
 - untrained staff
 - \$\$\$